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Committee Effectiveness Training

Skill Building for Labor-Management Groups

U.S. Department of Labor
Bureau of Labor-Management Relations
and Cooperative Programs

BLMR
1991

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Committee Effectiveness Training

Supplementary Materials

Handout Masters

U.S. Department of Labor
Bureau of Labor–Management Relations
and Cooperative Programs

Needs Assessment Questionnaire

Instructions Please give your honest opinion of how your labor–management committee is currently operating by rating its characteristics on the 5-point scale below. Circle the appropriate number after each statement to represent your perception.

Please respond to all statements. Individuals' responses will be kept confidential. The group's responses, taken together, will help determine what training will be most useful.

Please check one:

☐ I represent labor.
☐ I represent management.
☐ I serve as a neutral.

	Strongly disagree	Disagree	Undecided	Agree	Strongly agree
	⬇	⬇	⬇	⬇	⬇
1. The goals of our committee are clear.	1	2	3	4	5
2. When I go to a committee meeting, I am clear about the purpose and have a good idea of the topic(s) to be covered.	1	2	3	4	5
3. The committee has a well-established approach to solving problems.	1	2	3	4	5
4. When there is a difference of opinion among committee members, we seek a solution that is acceptable to everyone and do *not* vote.	1	2	3	4	5
5. We regularly report our committee's progress to all interested parties.	1	2	3	4	5
6. I understand the personal values and goals of most of the committee members.	1	2	3	4	5
7. I am comfortable sharing information about myself with other committee members.	1	2	3	4	5
8. Committee members usually work together as a team.	1	2	3	4	5

	Strongly disagree ⬇	Disagree ⬇	Undecided ⬇	Agree ⬇	Strongly agree ⬇
9. I understand what is expected of me as a committee member.	1	2	3	4	5
10. Someone is designated as recorder whenever we hold a meeting.	1	2	3	4	5
11. We carefully identify and define a problem before seeking solutions.	1	2	3	4	5
12. When I disagree with a proposed course of action, I do *not* feel pressured to accept the majority viewpoint.	1	2	3	4	5
13. We regularly seek information from those who will be affected by committee decisions.	1	2	3	4	5
14. The committee members recognize the particular strengths and potential contribution of each committee member.	1	2	3	4	5
15. Our committee members give each other constructive feedback on how their behavior is affecting others.	1	2	3	4	5
16. Our committee members are concerned not only about getting the task done, but also about getting each other involved and motivated.	1	2	3	4	5

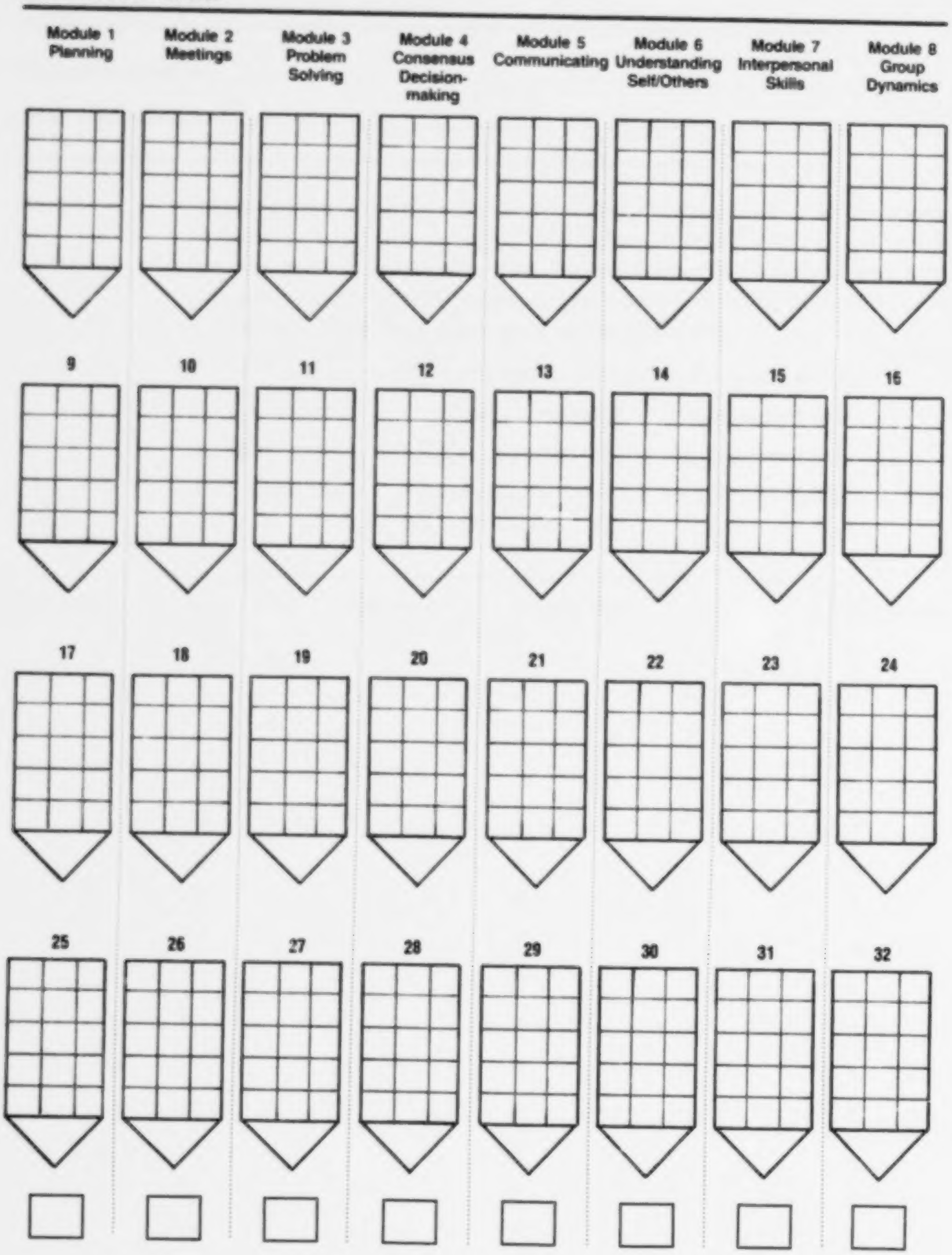
	Strongly disagree	Disagree	Undecided	Agree	Strongly agree
17. Our committee has developed ground rules on how the committee will function and how committee members will behave.	1	2	3	4	5
18. In addition to having a designated facilitator for each meeting, every member knows that he or she can intervene if needed to help keep a meeting on track.	1	2	3	4	5
19. We use the technique of brainstorming to develop as many potential solutions as we can before selecting the final solution.	1	2	3	4	5
20. We treat differences of opinion as a strength, knowing that better decisions will result from sharing different viewpoints.	1	2	3	4	5
21. Our committee conducts interviews with those it represents in order to identify, diagnose, and solve organizational problems.	1	2	3	4	5
22. The committee members understand personality differences and know how to make the best use of each other's talents.	1	2	3	4	5
23. Our committee members listen to one another, often restating another committee member's point of view to be sure it has been understood.	1	2	3	4	5
24. I feel that I have a considerable amount of influence on what takes place at a committee meeting.	1	2	3	4	5

	Strongly disagree	Disagree	Undecided	Agree	Strongly agree
25. Our committee develops implementation plans and determines appropriate criteria for evaluating the success of the plans.	1	2	3	4	5
26. When a committee meeting is over, each member is clear about who will do what.	1	2	3	4	5
27. Our committee uses effective techniques for exploring the possible causes of a problem and the driving and restraining forces that help maintain the problem.	1	2	3	4	5
28. Our committee uses effective techniques for achieving quick agreement on issues that are not important enough to require extended discussion.	1	2	3	4	5
29. Our committee members are competent to prepare and deliver whatever presentations the committee is called upon to make.	1	2	3	4	5
30. I feel that I know most of the other committee members as persons.	1	2	3	4	5
31. Committee members deal with conflict openly and honestly in an effort to resolve it.	1	2	3	4	5
32. Most of our committee members are (or would be, if given the chance) effective facilitators.	1	2	3	4	5

TRAINER'S RESOURCE 2

Needs Assessment

SCORING GRID



Module 1 Planning
Module 2 Meetings
Module 3 Problem Solving
Module 4 Consensus Decision-making
Module 5 Communicating
Module 6 Understanding Self/Others
Module 7 Interpersonal Skills
Module 8 Group Dynamics
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Evaluating a CET Workshop

WORKSHOP EVALUATION FORM

Committee name ____________________

Date and location of workshop ____________________

Part 1

Each number in the first column below refers to one of the performance objectives for this workshop. Referring to the list of objectives provided in your participant folder, rate the *workshop's* effectiveness in helping you meet each of the stated objectives by circling the number from 1 to 4 that best describes your understanding.

1	Not met	I do not understand the concept or tool.
2	Barely met	I partially understand the concept or tool.
3	Met	I fully understand the concept or tool.
4	Exceeded	I understand and will be able to apply the learning with practice.

Objective number	Not met	Barely met	Met	Exceeded
1	1	2	3	4
2	1	2	3	4
3	1	2	3	4
4	1	2	3	4
5	1	2	3	4
6	1	2	3	4
7	1	2	3	4
8	1	2	3	4
9	1	2	3	4
10	1	2	3	4
11	1	2	3	4
12	1	2	3	4
13	1	2	3	4
14	1	2	3	4
15	1	2	3	4
16	1	2	3	4
17	1	2	3	4
18	1	2	3	4

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Part 2 Please comment on the parts of the workshop you found most useful.

Part 3 Please comment on the parts of the workshop you found least useful. Can you suggest alternatives?

Your name and phone number are not necessary but would help us to follow up with you on ways to improve this workshop. ______________________________

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HANDOUT 1

Implementation Planning

CONTEXT FOR IMPLEMENTATION PLANNING

Steps in the Planning Process

- ☐ Define the mission or reason for being.
- ☐ Envision a desired future state.
- ☐ Define desired outcomes, or goals.
  That is, translate the mission statement into concrete changes desired.
- ☐ Describe the steps or actions on the way to each goal.
  These steps are called objectives. They are: achievable in a stated time period, concrete, specific, and measurable.
- ☐ Develop an implementation plan.
  This details the action steps within each objective or key action, scripting the who, what, when, where, why, and how.
- ☐ Develop an evaluation plan.

HANDOUT 2

Implementation Planning

PLANNING GUIDESHEET, PART 1

Objective (achievable in a given time frame, concrete, specific, measurable)

Action Steps (list in any order; then agree on order as a group)

#___

#___

#___

#___

#___

#___

#___

#___

#___

#___

#___

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PLANNING GUIDESHEET, PART 2 (make a copy for each action step)

Action Step # ___

Six Basic Questions

1. Who?
2. Will do what?
3. When?
4. Where?
5. Why?
6. How?

Five Considerations

1. Are the **implementers present** at this planning session? yes ☐ no ☐
   (If not, bring them in before going further.)
2. Does the plan have the **flexibility** needed if circumstances change? yes ☐ no ☐
   (If not, adjust it to be more flexible.)
3. Are the planned actions as **simplified** as possible? yes ☐ no ☐
   (If not, simplify them.)
4. What is the plan for **communicating** purpose and status of the action with others?
5. What is the plan for **reporting the outcome** of the action?

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HANDOUT 1

Robbery: Planning with PERT

INSTRUCTION SHEET*

Background: You are members of a notorious bank-robbing gang. The secret of your success is that your robberies always are well planned. For your next caper, you have selected a rural branch of the Second National Bank. From your surveillance, you have discovered that it will take the police seven minutes and thirty seconds to reach the bank once the alarm has sounded. You now want to determine if the robbery can be completed successfully in that time.

To complete the robbery, two members of your gang (one gunperson and a safecracker) will be dropped off behind the bank and will be responsible for picking the lock on the rear door. The rest of the gang will be driven to the front of the bank to wait. Once the alarm has sounded, the entire gang will enter the bank. The gun people will point their weapons at the guards and the customers, the counter leaper will leap over the counter and empty the teller drawers, and the safe cracker will crack or blow open the safe and empty it. Once these things have been accomplished, the gang will leave.

Your task is to determine whether the robbery can be accomplished in the allotted time and, if so, what the critical path is.

Your Task: To create a PERT chart for the bank robbery scenario.

Questions to be answered:

1. Can the robbery be accomplished in the seven minutes, thirty seconds before the police arrive?
2. How quickly can it be accomplished? (What is the critical path?)

Participants:

2 gunpeople
1 safe cracker
1 driver
1 counter leaper
1 mastermind (optional with six participants)

Activities:

1. Drop off one gun person and the safe cracker in the alley behind the bank.
2. Drop off the other gang members in front of the bank.
3. Everyone enters the bank at the same time.
4. The gun people take up their positions and point their weapons at everyone in the bank.
5. The counter leaper leaps over the counter and empties the tellers' drawers.
6. The safe cracker cracks open the safe and empties it.
7. All members of the gang leave the bank at the same time.
8. The driver meets the rest of the gang in front of the bank when the robbery is completed.

more ⇨

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* Reprinted from "Robbery: Planning with PERT," by Mark P. Sharfman and Timothy R. Walters, in *The 1983 Annual for Facilitators, Trainers, and Consultants*, ed. Leonard D. Goodstein and J. William Pfeiffer (San Diego), pp. 42–43, by permission of University Associates, Inc.

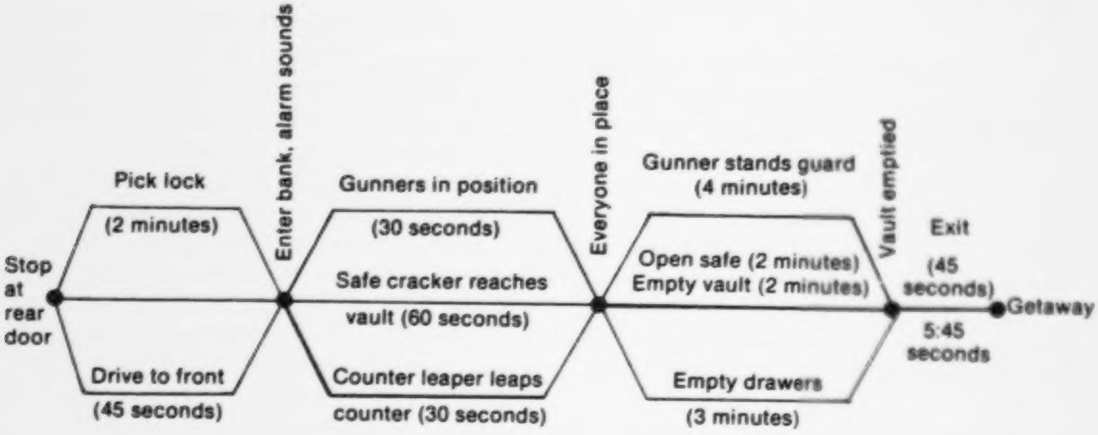
Timing:

1. Two minutes to pick the lock on the rear door.
2. The alarm goes off when the back door is picked; the police arrive in seven minutes, thirty seconds.
3. Forty-five seconds to drive from the alley to the front of the bank.
4. Thirty seconds for the gun people to enter the bank and take up their positions.
5. Sixty seconds for the safe cracker to reach the safe from the back door.
6. Thirty seconds for the counter leaper to leap over the counter and start to empty the drawers.
7. Three minutes to empty the tellers' drawers.
8. Two minutes to open the safe.
9. Two minutes to empty the safe.
10. Forty-five seconds to exit from the bank and reach the car at the front curb.

HANDOUT 2

Robbery: Planning with PERT

ANSWER SHEET*


Stop at rear door
Pick lock
(2 minutes)
Drive to front
(45 seconds)
Enter bank, alarm sounds
Gunners in position
(30 seconds)
Safe cracker reaches vault (60 seconds)
Counter leaper leaps counter (30 seconds)
Everyone in place
Gunner stands guard (4 minutes)
Open safe (2 minutes)
Empty vault (2 minutes)
Empty drawers
(3 minutes)
Vault emptied
Exit
(45 seconds)
Getaway
5:45 seconds

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* Reprinted from "Robbery: Planning with PERT," by Mark P. Sharfman and Timothy R. Walters, in *The 1983 Annual for Facilitators, Trainers, and Consultants*, ed. Leonard D. Goodstein and J. William Pfeiffer (San Diego), p. 44, by permission of University Associates, Inc.

HANDOUT 3

Robbery: Planning with PERT

AN INTRODUCTION TO PERT . . . or . . .*

NOW THAT WE'VE ALL FINALLY AGREED ON WHERE WE WANT TO GO, HOW DO WE ARRANGE TO GET THERE FROM HERE.

Suppose you wake up on Saturday morning and decide to take the family on a picnic.

Going through your head is a jumble of activities and tasks that need doing in order to get the picnic organized. "Coffee. Is the thermos clean? Remember this time to take some fly-spray. Do we have any beer? What kind of sandwiches would everyone like? "

How to accomplish all the preparations? Obviously, you need the help of the rest of the family. But if everybody is involved in the task, how will it be coordinated? How avoid two people getting the napkins and nobody remembering to get the first-aid box? How to assign responsibility for the can-opener? And how to decide what must be done first, and what can be done at any time?

These kinds of questions *could* be all answered by one person, who would assign tasks and maintain supervision, settle disputes and respond to the inevitable complaints about work-loads, tasks neglected, and so forth.

Or there could be a non-directed kind of process in which the family periodically stops what it is doing to argue about everything from where we want to go down to which kind of olives to take.

But there is a planning method that permits a group to . . .

Be mutually aware of the process and sub-goals. Contribute to and share in the decisions made about how, when and by whom activities are done

Make more efficient use of resources by concentrating effort and time on the *critical tasks* rather than devoting time to sub-tasks while tasks of greater priority lack hands.

Re-evaluate the project while it is underway, and re-allocate resources to cope with unexpected blocks to task accomplishment, or to take advantage of unanticipated success in meeting some sub-goal.

This planning method is called PERT, one of those acronyms to be sure, but no less valuable for that. It stands for Program Evaluation and Review Technique, and it has saved government and industry many millions of man-hours and dollars. A variation of PERT is known as CPM, or the Critical Path Method, a name that expresses something about how the thing is done. In this brief paper, we can only glimpse the bare outlines of PERT/CPM. Please consult the references for more detailed discussions.

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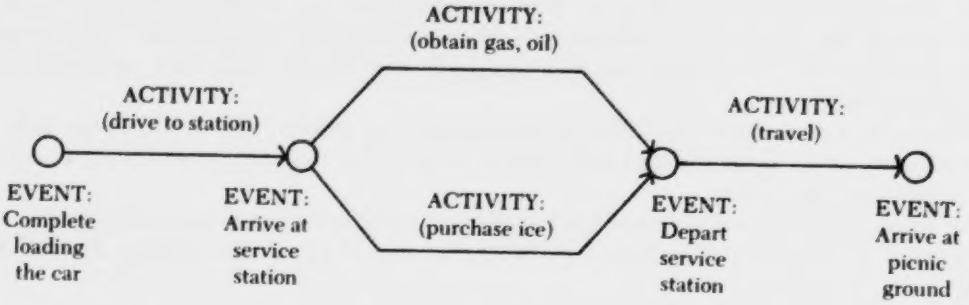
* Reprinted from "Introduction to PERT. . . or . . . ," by D.E. Yoes in *The 1972 Annual Handbook for Group Facilitators*, ed. J. William Pfeiffer and John E. Jones (San Diego), pp. 135–137, by permission of University Associates, Inc.

PERT is a group analysis and flow-charting procedure that begins with identifying the sequences of dependent activities.

One begins, in true Lewis Carrol fashion, at the end.

Before we can arrive at the picnic grounds, we must travel there in the car. Before we can travel in the car, we must fill up with gas and check the oil. Before we can do that, we must have traveled to the service station. Before we can start out for the service station, we must have loaded all the supplies in the car . . . except ice, which we can get at the gas station.

So we draw a network of *activities*, each of which ends in an *event*, in this manner:


ACTIVITY: (obtain gas, oil)
ACTIVITY: (drive to station)
ACTIVITY: (travel)
ACTIVITY: (purchase ice)
EVENT: Complete loading the car
EVENT: Arrive at service station
EVENT: Depart service station
EVENT: Arrive at picnic ground

Just to keep it from looking as trivial as you probably think it is, we have shown the purchase of ice as a parallel activity, beginning and ending in the same events as the obtaining of gas and oil.

Now, suppose that you know that you need to arrive at the picnic ground no later than 11:00 am. When will you need to start from home?

Just like the radio or television producer, you now must *back-time* each activity. Estimate its duration as well as you can, and label each activity.

Travel to the picnic ground: 60 minutes.

Obtain gas and oil: 10 minutes.

Purchase ice: 15 minutes (You must also open the ice chest and pack the food and drinks.)

Drive to service station: 10 minutes.

ADD UP THE SEQUENCE OF ACTIVITIES THAT WILL TAKE THE MOST TIME. You discover that you don't need to add the time spent gassing the car; the obtaining of ice will require five more minutes than that.

You have determined that purchasing ice is on the CRITICAL PATH and gassing the car is not.

You have also discovered that it will take you an hour and twenty-five minutes to reach the picnic ground. If you must arrive there at 11:00 am. you must leave no later than 9:35.

What if you cannot leave by then?

You must shorten the time required to accomplish one or several of the activities in the CRITICAL PATH or else revise your plans drastically.

At this point, your oldest boy suggests that the time required to purchase ice could be shortened if he opened the ice chest and partially unpacked the food while his younger brother got the ice bag out of the freezer and little sister gave the attendant fifty cents.

This did not come from you as a command or directive. It came from one of the other planners in response to a perceived need to increase the efficiency of some activity leading to a common goal. And while there may be some squabbling among the children about which child gets to pay the attendant and which gets to carry the ice, there is no cavilling at the division of tasks or the necessity for all to share.

Moreover, every party to the enterprise has a means of evaluating how well the timetable is being met, and of revising the group performance to meet needs that arise unexpectedly.

Each is able to contribute not merely his labor, but his knowledge of the special task he individually performs as it relates to the overall effort.

As boss of the family, you might have been able to come up with the idea of dividing up the task of ice purchase . . . or you might not. And if you had thought of it, the family members might not have performed it as ably under your directive as they would have if it had been their own idea.

The example we have given is thus seen to be trivial, indeed, but at the same time a paradigm of the planning process.

PERT is seen to be a tool of communication, and not just an abstract exercise performed only by the staff planners, thereafter executed under duress by the grumbling line.

PERT is a method that permits revision of the plan when things don't work out like the original plan said they should.

Plans never work out right.

But *the planning process is indispensable*.

D. E. Yoes

H. F. Evarts. *Introduction to PERT*. Dallas: Allyn and Bacon, 1964. (An excellent, short, non-technical introduction.)

R. C. Levin. *Planning and Control with PERT/CPM*. N.Y.: McGraw-Hill, 1966. (More like a textbook, concentrating on industrial management.)

J. J. Moder. *Project Management with CPM and PERT*. N.Y.: Reinhold, 1964. (Develops the mathematics of the process, focusing more on systems development than on industrial management.)

J. D. Wiest and F. K. Levy. *A Management Guide to PERT/CPM*, Englewood Cliffs, N.J.: Prentice-Hall, 1969. (A simplified text for management, but concerned with organizational planning as well as industrial management.)

HANDOUT 1

Farmers

INFORMATION BITS*

Directions Make one set of six information bits for each working group. Cut along lines before distributing one information bit to each group member.

If the group has only five members, copy one bullet item from Information Bit #6 onto each of the first five information bits before distributing them.

FARMERS INFORMATION BIT #1

- The dogs' owner lives next door to the house with a plum orchard.
- Hull raises albino rats.
- The farmer who lives in the bungalow raises pigeons.
- Only one of the village houses is located on the east side.
- The farmer who lives next to Pavlov drives a station wagon.

FARMERS INFORMATION BIT #2

- Pavlov's neighbor raises chimpanzees.
- The farmer who raises dogs also grows cherries.
- Skinner lives next to the red brick house.
- One of your group's tasks is to decide who drives a truck.
- The houses of the village are standing in a semicircle, beside each other.

more ⇨

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* Reproduced from "Farmers: Information Sharing," by Aharon Kuperman, in *The 1981 Annual Handbook for Group Facilitators*, ed. John E. Jones and J. William Pfeiffer (San Diego), pp. 22–23, with the permission of University Associates, Inc.

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FARMERS INFORMATION BIT #3

- Kohler grows pears.
- There is a limousine in the garage of the ranch house.
- Each farmer raises a different kind of animal.
- Farmer Thorndike lives next to Farmer Skinner.
- A motorcycle stands in the back yard of the log cabin.

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FARMERS INFORMATION BIT #4

- The person who raises cats lives next door and to the east of the house with the almond trees.
- Your group has fewer than three tasks.
- Every week, boxes of dog food are placed at the gate of the log cabin.
- Only one of the village houses is located on the west side.
- Each of the five farmers living in the village drives a different kind of vehicle.

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FARMERS INFORMATION BIT #5

- The log cabin is in the most northern position in the village.
- Each farmer grows a different kind of fruit.
- The ranch house stands next to the cottage.
- Farmer Thorndike drives a sports car.
- Farmer Skinner raises pigeons.

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FARMERS INFORMATION BIT #6

- Only Farmer Skinner lives at the west end of the village.
- There are Albino rats in the yard of the ranch house.
- One of your group's tasks is to decide who grows apples.
- Pavlov lives in the log cabin.
- Each farmer lives in a different type of house.

-- ✂

HANDOUT 2

Farmers

SOLUTION TO EXERCISE*

The table below summarizes the data contained on Information Bits #1–6.

The group has two tasks, described on Information Bits #2 and #6. Those two tasks are:

- to determine who drives a **truck** and
- to determine who grows **apples**.

The answers to these two questions are Skinner and Hull, respectively.

Farmer	Skinner	Thorndike	Pavlov	Kohler	Hull
Animals	pigeons	cats	dogs	chimpanzees	albino rats
Fruit	almonds	plums	cherries	pears	**apples**
House	bungalow	red brick	log cabin	cottage	ranch
Location	west	northwest	north	northeast	east
Vehicle	**truck**	sports car	motorcycle	station wagon	limousine

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* Adapted from "Farmers: Information Sharing," by Aharon Kuperman, in *The 1981 Annual Handbook for Group Facilitators*, ed. John E. Jones and J. William Pfeiffer (San Diego), p. 21, with the permission of University Associates, Inc.

HANDOUT 3

Farmers

HOW TO PITCH A BETTER MEETING

Step 1 *Plan*

Plan the meeting, being clear about

☐ why the meeting is needed,
☐ what outcomes the group wants,
☐ who should attend,
☐ what arrangements need to be made,
☐ what agenda items need to be discussed,
☐ how items will be addressed (what processes will be used—brainstorming, diagnosing a problem, developing solutions, selecting a solution, reaching consensus, and so on), and
☐ how much time will be needed to achieve the desired outcomes.

Step 2 *Inform*

Inform meeting participants of

☐ the purpose of the meeting,
☐ the desired outcomes,
☐ the agenda items (the "what"),
☐ the processes to be used (the "how" of addressing agenda items),
☐ the date, time, and location, and
☐ any premeeting assignments.

Step 3 *Target*

Develop a **target** for productive discussion by

☐ stating and clarifying the purpose of the meeting,
☐ getting agreement on the desired outcomes,
☐ allowing for modification of the agenda (including adding or deleting items, changing the order, or adjusting the times allocated), and
☐ getting agreement on the processes to be used in addressing agenda items.

more ⇨

Step 4 **Contain**

Contain the discussion to the agreed-upon agenda by

- ☐ designating a facilitator and a recorder,
- ☐ adhering to the agenda unless the group explicitly agrees to alter it,
- ☐ adhering to an agreed-upon process unless there is common agreement that it is no longer useful,
- ☐ confronting behavior that diverts the group from attaining its desired outcomes,
- ☐ encouraging each group member to bring all his or her information to bear on the issue at hand, and
- ☐ getting agreement on action steps, responsibilities, and target dates.

Step 5 **Hasten**

Hasten the completion of agreed-upon action steps by

- ☐ summarizing the meeting,
- ☐ recording the decisions that were made,
- ☐ recording the names of persons responsible for implementing action steps and the target dates,
- ☐ agreeing on a date for the next meeting,
- ☐ evaluating every meeting and agreeing on ways to "pitch" a better meeting,
- ☐ editing and distributing minutes,
- ☐ putting unfinished business on the agenda for the next meeting,
- ☐ following up and encouraging task completion, and
- ☐ monitoring and evaluating the results achieved by the group.

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HANDOUT 1

The Role of Facilitator in Effective Meetings

FACILITATOR CHECKLIST

Getting a Meeting Off to a Good Start

Below is a list of interventions a facilitator may wish to use in getting a group meeting started:

- ☐ Clarify for the group that the facilitator's role is to assist the group with process, not to be a content expert.
- ☐ Establish who will serve as the recorder and timekeeper.
- ☐ Determine whether the group wishes to review its ground rules or norms or to establish any new ones.
- ☐ Remind group members of any commitments or agreements they made for this meeting.
- ☐ Remind group members of any new behaviors they want to try out in this meeting.
- ☐ Summarize where the group left off in the last meeting.
- ☐ Clarify the agreed-upon purpose of this meeting.
- ☐ Help the group build an agenda for this meeting. Specifically, help it to:
  - ☐ Determine which tasks to do first.
  - ☐ Establish specific outcomes or products expected from the meeting.
  - ☐ Establish criteria for determining when expected outcomes are achieved or expected products are acceptable.
  - ☐ Clarify the group's tasks (what), and determine the processes (how) the group will use to complete the tasks.
  - ☐ Establish time frames for each task, activity, or process to ensure that the group has enough time to complete all of them.
  - ☐ Identify the other group members who can assist the group in completing the tasks.
- ☐ Check for agreement of all group members on all of the above before tackling the first agenda item.

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Keeping a Meeting Going

While the group is working on a task, the facilitator—and each participant in his or her facilitating role—will assist the group by intervening as needed to:

- ☐ Keep the group clear on what the task is.
- ☐ Question the relevance of discussion or contributions to reaching the outcomes the group has chosen.
- ☐ Guard the integrity of the process the group has chosen to complete its task.
- ☐ Check for agreement or disagreement.
- ☐ Summarize where the group is in terms of its agenda, tasks, or process.
- ☐ Identify changes or deviations from the group's agreed upon agenda, tasks, or processes.
- ☐ Protect the group from domination by a few individuals.
- ☐ Call on silent members to participate.
- ☐ Protect individuals and the group from personal attacks.
- ☐ Suggest alternatives or options.
- ☐ Surface conflicts.
- ☐ Ask for process checks to determine how group members feel about what is going on at a given moment.
- ☐ Call for time-outs or breaks.
- ☐ Assist the recorder and timekeeper.
- ☐ Identify when a suggestion has been made that the group has ignored.
- ☐ Identify when a decision needs to be made.
- ☐ Identify when a decision has been made.
- ☐ Provide ongoing feedback to the group.

HANDOUT 1

The Role of Recorder in Effective Meetings

RECORDER CHECKLIST

Group recorders may wish to adopt some of the following tasks and techniques to help them in creating a group memory from what group members say to one another.

Preparation

- ☐ Tell the group that, as recorder, you will record the substance of member contributions as you hear them and that you, in turn, expect group members to review what you've recorded for accuracy. (This is your "contract" with the group.)
- ☐ Make sure you have an adequate supply of flipchart pads, markers, and masking tape. (Use waterbased markers; petroleumbased markers bleed through the paper and may stain the walls.)
- ☐ Use two flipchart easels so that you can move from a completed page to a fresh one without interruption.
- ☐ Tear off small pieces of masking tape and attach them to the edge of the flipchart easel before the meeting to speed the posting of completed flipchart pages.
- ☐ Ask for a volunteer to post the completed pages.

Accuracy and Completeness

- ☐ Record key ideas and phrases using the speaker's words, not your own.
- ☐ Do not record the name of the person contributing an idea. The idea is then "owned" by the group.
- ☐ Write legibly but quickly so you don't hold back the group and dampen its energy. Do not print unless you print as fast as you write.
- ☐ If you cannot hear an idea or hear several ideas at once, ask the group for help.

more ⇨

Remaining Unobtrusive

- ☐ Remain as unobtrusive as possible. Focus on the flipchart rather than on someone who is trying to express an idea.
- ☐ Speak only when you need clarification or more time to record the ideas.
- ☐ Like any group member, you may speak to the facilitator if you see a way of assisting the group in working with the data already presented or if you see that the group is off track.

Format of the Record

- ☐ Do not worry about spelling. It is substance, not form, that the recorder is to capture.
- ☐ Use different colored markers for headings, for different levels of detail, for different kinds of data, and for emphasis. For quick color changes, you can hold three uncapped markers in one hand while you are writing with a fourth. Use arrows, stars, numbers, and other devices to organize the data.
- ☐ Use only commonly understood abbreviations.
- ☐ When you summarize a long idea in key phrases, ask the contributor if you have accurately recorded the idea.
- ☐ Don't be defensive if a group member challenges your accuracy in recording an idea. Cross it out and rewrite it. The group owns the idea.

Completing the Task

- ☐ Number each page to help order completed sheets.
- ☐ At the end of a meeting, compile and label the completed flipchart pages, and make sure they are safely stored and made available for the next meeting.
- ☐ Make sure that the group has come to agreement on what will be done with the group record. Will it be transcribed? Summarized? Summarized and distributed to constituents? Saved in its initial form?

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HANDOUT 1

How To PITCH a Better Meeting

GUIDELINES

Step 1 ***Plan***

Plan the meeting, being clear about

- ☐ why the meeting is needed,
- ☐ what outcomes the group wants,
- ☐ who should attend,
- ☐ what arrangements need to be made,
- ☐ what agenda items need to be discussed,
- ☐ how items will be addressed (what processes will be used—brainstorming, diagnosing a problem, developing solutions, selecting a solution, reaching consensus, and so on), and
- ☐ how much time will be needed to achieve the desired outcomes.

Step 2 ***Inform***

Inform meeting participants of

- ☐ the purpose of the meeting,
- ☐ the desired outcomes,
- ☐ the agenda items (the "what"),
- ☐ the processes to be used (the "how" of addressing agenda items),
- ☐ the date, time, and location, and
- ☐ any premeeting assignments.

Step 3 ***Target***

Develop a **target** for productive discussion by

- ☐ stating and clarifying the purpose of the meeting,
- ☐ getting agreement on the desired outcomes,
- ☐ allowing for modification of the agenda (including adding or deleting items, changing the order, or adjusting the times allocated), and
- ☐ getting agreement on the processes to be used in addressing agenda items.

more ⇨

Step 4 *Contain*

Contain the discussion to the agreed-upon agenda by

- ☐ designating a facilitator and a recorder,
- ☐ adhering to the agenda unless the group explicitly agrees to alter it,
- ☐ adhering to an agreed-upon process unless there is common agreement that it is no longer useful,
- ☐ confronting behavior that diverts the group from attaining its desired outcomes,
- ☐ encouraging each group member to bring all his or her information to bear on the issue at hand, and
- ☐ getting agreement on action steps, responsibilities, and target dates.

Step 5 *Hasten*

Hasten the completion of agreed-upon action steps by

- ☐ summarizing the meeting,
- ☐ recording the decisions that were made,
- ☐ recording the names of persons responsible for implementing action steps and the target dates,
- ☐ agreeing on a date for the next meeting,
- ☐ evaluating every meeting and agreeing on ways to "pitch" a better meeting,
- ☐ editing and distributing minutes,
- ☐ putting unfinished business on the agenda for the next meeting,
- ☐ following up and encouraging task completion, and
- ☐ monitoring and evaluating the results achieved by the group.

HANDOUT 2

How To PITCH a Better Meeting

MEETING EVALUATION FORM

Directions Reflect on the last meeting of your group that you attended. Circle the number that best reflects your viewpoint on each statement.

	Strongly disagree	Disagree	Undecided	Agree	Strongly agree
1. I knew why we were having a meeting before I came to the meeting.	1	2	3	4	5
2. I knew what the desired outcomes were for the meeting before I arrived.	1	2	3	4	5
3. Everyone who should have been at the meeting had been told it was being held.	1	2	3	4	5
4. The physical arrangements for the meeting were handled well.	1	2	3	4	5
5. I received an agenda before I came to the meeting.	1	2	3	4	5
6. Before I came to the meeting, I knew what processes would be used to address agenda items (e.g., brainstorming, diagnosing a problem, developing solutions, selecting a solution, consensus).	1	2	3	4	5
7. Enough time was allotted to address agenda items.	1	2	3	4	5
8. At the beginning of the meeting, the purpose of the meeting was stated clearly.	1	2	3	4	5
9. At the beginning of the meeting, everyone agreed on what he or she would like to see come out of the meeting.	1	2	3	4	5
10. Everyone had a chance to modify the agenda and agree on priorities and time allocations.	1	2	3	4	5
11. Everyone agreed to the processes to be employed in addressing the agenda items.	1	2	3	4	5

	Strongly disagree	Disagree	Undecided	Agree	Strongly agree
	⬇	⬇	⬇	⬇	⬇
12. A facilitator and a recorder were designated to assist the group.	1	2	3	4	5
13. We adhered to the agenda unless everyone agreed to modify it.	1	2	3	4	5
14. We adhered to the agreed-upon processes unless we all agreed that they were no longer useful.	1	2	3	4	5
15. We did not allow anyone to divert us from attaining our agreed-upon outcomes.	1	2	3	4	5
16. Everyone contributed his or her viewpoint on the issues discussed.	1	2	3	4	5
17. We got agreement on action steps, responsibilities, and target dates for completion.	1	2	3	4	5
18. We summarized our meeting.	1	2	3	4	5
19. We recorded all of our decisions.	1	2	3	4	5
20. We recorded the names of persons responsible for action steps and the target dates for completion.	1	2	3	4	5
21. We evaluated our meeting and agreed on ways to improve our next meeting.	1	2	3	4	5
22. We designated someone to edit and distribute the minutes of the meeting.	1	2	3	4	5
23. We put unfinished business on the next meeting's agenda.	1	2	3	4	5
24. We designated someone to follow up and encourage task completion.	1	2	3	4	5
25. We regularly monitor and evaluate the results achieved by our group.	1	2	3	4	5

HANDOUT 1

Let's Look at the Mailroom

PROBLEM SITUATION SHEET

There is a problem in the mailroom of an insurance claims department. Many of the claims adjusters are receiving claims that are postmarked 2 weeks before receipt. Customer complaints have risen 85% in the last 6 months, including a 2% rise in complaints that the company has lost submitted claims.

Of the mailroom staff of 23 (one manager, one assistant manager, two supervisors, and 19 unionized mailclerks), only 12 have worked there for more than 6 months: one supervisor and 11 mailclerks. There are rumors of morale problems in the department. Both the union leadership and management have seen an increase in grievances in the mailroom. One of the supervisors is mentioned in 75% of the grievances.

The mail-sorting machine has been in disrepair for several months. The service company has been called in on 14 occasions. The assistant manager has placed a capital improvement request for a "next generation" mail sorter. Since the company refused to meet the pay increase demands of the union in the last contract negotiations, claiming decreased profits, it is unlikely that the purchase of a new sorter will be approved.

No one seems to be resolving the problem. The mailroom manager and supervisors are swamped with an increased volume of paperwork and mail. The claims adjusters have been carrying the brunt of the criticism for customer dissatisfaction. The personnel department is also being criticized for failing to hire competent people and to provide adequate skills training. Top management is proposing tighter discipline and controls to improve quality control.

The union has proposed a joint task force to address the problems in the mailroom, and management, after giving serious consideration to that proposal, has given its OK.

You have been appointed to serve on that task force and are meeting with your fellow task force members for the first time.

HANDOUT 2

Let's Look at the Mailroom

TASK FORCE ROLES

Instructions Reproduce one set of role slips for each working group of 6–11 people in the workshop. Cut the slips apart along the dotted lines.

Distribute one role slip to each working group member, making sure to distribute at least the first six role slips.

ROLE #1: VICE PRESIDENT FOR OPERATIONS

As Vice President for Operations, you are responsible for the maintenance of efficient and effective systems.

Your major interest is to try to get the task force to focus on *defining the problem*. Is it a problem of outmoded technology? Understaffing? Poor management? Poor morale? Inadequate training? Bad hiring practices?

ROLE #2: UNION PRESIDENT

As Union President, you must have convincing answers for your membership on why things are the way they are.

Your major interest is to try to get the task force to focus on the *causes* of the problem: Why are things not going well in the mailroom? If the causes of a problem are not analyzed, the task force is likely to recommend solutions that will not work.

ROLE #3: PERSONNEL MANAGER

As Personnel Manager, you know that there is no one quick fix to any problem.

Your major interest is to try to keep the task force from getting bogged down in the problem and to get beyond the problem to developing *as many potential solutions as possible*.

ROLE #4: UNION VICE PRESIDENT

As Union Vice President, you have spent much of your time in grievance meetings and are sick of them.

Your major interest is to try to get the task force to see, as soon as possible, that *the* solution to the mailroom problem is to replace the supervisor who has been involved in 75% of the increasing number of grievances. Only in this way can morale be improved.

ROLE #5: MAILROOM MANAGER

As Mailroom Manager, you have been taking a lot of heat and want to be seen as being responsive and decisive.

Your major interest is to get the task force to focus, as quickly as possible, on how it plans to *implement* a workable solution, regardless of what that specific solution is. Who will be accountable for implementing the solution? What specific steps will be taken? When will each step be completed?

ROLE #6: QUALITY MANAGER

As Quality Manager, you know how important it is to establish measurement methodologies.

Your major interest is to get the task force, before it gets too far in its discussion, to focus on how it plans to *evaluate* the solution it will implement. How will it know that the solution is the right one and that it is successfully eliminating the problem without causing new ones?

ROLE #7: MAILROOM SUPERVISOR

As Mailroom Supervisor, you have to get the job done through your people, and your boss isn't interested in excuses.

Your major interest is to get the task force to see, as soon as possible, that *the* solution to the mailroom problem is to increase staffing. Only in this way will you be able to keep on schedule, especially when the mail-sorting machine breaks down.

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ROLE #8: MAILROOM UNION STEWARD

As Mailroom Union Steward, you are constantly hearing gripes about the malfunctioning mail-sorting machine.

Your major interest is to get the task force to see, as soon as possible, that *the* solution to the mailroom problem is to recommend that management invest in a "next generation" mail-sorting machine.

ROLE #9: MAILCLERK

As a mailclerk, you feel overburdened with the volume of work.

Your major interest is to get the task force to hire more mailclerks.

ROLE #10: MAILCLERK

As a mailclerk, you are very frustrated with having to hand sort the mail whenever the mail-sorting machine is on the fritz.

Your major interest is to get the task force to replace the defective machine.

ROLE #11: CLAIMS ADJUSTER

As a claims adjuster, you have had to take the rap for slow processing of claims.

Your major interest is to ensure that responsibility for the problem is confined to the mailroom.

HANDOUT 1

A Group Problem-Solving Model

PROBLEM SOLVING: A SIX-STEP PROCESS

A problem-solving model helps to

- Air everyone's concerns
- Look beyond symptoms
- Explore all solutions
- Anticipate problems
- Follow through
- Work productively

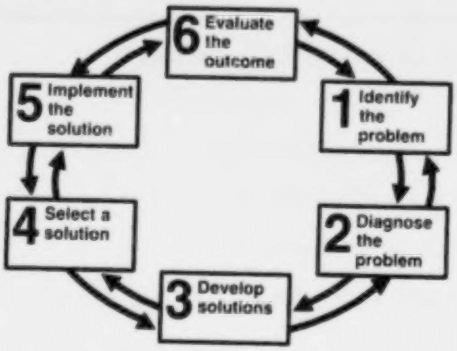
Introduction A problem-solving model is a **conceptual framework** for addressing problems, not a formula for solving them.

People are the actual problem solvers. But groups of people usually need an agreed-upon framework to keep them focused and on task. Without a model, groups may fail to

- air everyone's concerns and ideas
- delve beyond symptoms to causes and root problems
- explore the full range of solutions, selecting a technically sound solution acceptable to all concerned
- anticipate adverse impacts
- follow through on steps needed to effect the solution
- work together productively
- solve problems

Problem-solving models range from highly sophisticated technical models to relatively simple ones. The six-step problem-solving model presented here is easy to remember yet comprehensive enough to help a group address all but the most technical problems.

Problem-solving process



Overview

The sequence begins with "1. Identify the problem" and proceeds clockwise through six steps. The steps are arranged in a circle to emphasize the **cyclic, continuous nature** of the problem-solving process. The model has several important characteristics:

- There are no branches or choice points. All six steps are required in the order shown. When one step is completed, your group proceeds clockwise to the next step.
- The steps are repeatable. At any step, your group may decide to go back and repeat an earlier step. Diagnosing a problem, for instance, can lead back to redefining the problem.
- The process is continuous. Simply implementing a solution does not end the process. Evaluating that solution may identify new aspects of the problem or new problems that need to be addressed, leading the group to a new step 1.

Though the steps have discrete names, there is no clear demarcation between them. Identifying and diagnosing a problem frequently overlap. Selecting a solution may prompt the group to refine a solution or to develop additional ones. Evaluation mechanisms may suggest changes in the implementation plan.

Since the process is continuous, with some "recycling," a group can monitor the environment in which a solution is to be introduced; take into account other forces, mechanisms, and changes in the organization; and "roll in" any new information that affects the success of the proposed solution.

1

Identify the problem

- Identify the symptoms
- Determine urgency, how widespread
- Make a tentative definition of the problem

Step *1*

The first step, identifying the problem, is a broad review of the current situation—a fitting together of information, like pieces of a puzzle.

In this first stage, a group identifies and discusses the symptoms and scope of the problem. That is, it determines what "hurts," to what degree the symptoms are shared, and the urgency of relieving the symptoms.

You'll use **tools** such as brainstorming, interviewing, and questionnaires to gather this information.

As you go through this step, you'll find yourselves raising, reviewing, and discarding **statements of the problem** as you sort out what are merely symptoms and look behind those symptoms to make a tentative definition of the underlying problem.

2

Diagnose the problem

- Gather information
- Determine the causes
- Restate the problem

Step 2

Once you recognize the symptoms and have tentatively defined the problem, your group can begin to collect information about the nature of the problem. At this step, you may use tools such as cause and effect analysis or Pareto analysis to help you organize information and zero in on underlying causes.

This is the stage in which you determine the root causes of the problem. When you restate the problem, your definition will reflect the causes. Your efforts over the next two steps can thus be directed to finding solutions that address the roots of a documented problem, not merely its random symptoms.

3 Develop solutions

- **List all potential solutions**
- **Relate each to the causes of the problem**
- **Merge similar or related solutions**

Step *3*

Once you've defined a problem, your "knee jerk" reaction may be to jump toward a particular solution. But creative problem solving requires you to **explore a full range** of viable solutions. To assemble a variety of solutions from which to choose, you must

- **generate** as many potential solutions as possible,
- **relate** each to the causes of the problem, and
- **merge** similar or related solutions.

At this stage, you're still not ready to select the best solution. You simply want to narrow the field, reduce redundancy, and eliminate any possibilities that don't address the causes you identified earlier. Force field analysis is a good **tool** for preliminary screening of this solution field.

4

Select a solution

- Determine technical quality
  - Time
  - Cost
  - Reliability
  - Efficiency
  - Adaptability

Step *4*

In the fourth step, evaluate each potential solution for its strengths and weaknesses. Selecting a solution is a search for the most **effective** solution by applying two general criteria. An effective solution

- has sufficient **technical quality** to resolve the problem and
- is **acceptable** to those who will have to implement it.

Ask these questions when evaluating the **technical quality** of a proposed solution:

☐ Can it be implemented in a reasonable **time**?

☐ Can it be done within **cost** limits?

☐ Will it work **reliably**?

☐ Will it use staff and equipment **efficiently**?

☐ Is it flexible enough to **adapt** to changing conditions?

4

Select a solution

- Determine technical quality
- Determine acceptability
  - Perception of others
  - Manageable risks
  - Personal benefit
  - Organizational benefit

Step *4*
(continued)

When evaluting a solution's acceptability, ask:

☐ Do the implementers support the solution, perceiving it to be worth their time and energy?

☐ Are the **risks** manageable?

☐ Will the solution benefit the **persons** affected by the problem?

☐ Will it benefit the **organization**?

Selecting a solution thus requires you to identify an effective solution—one that has sufficient technical quality to resolve the problem and is acceptable to those who will have to implement it.

5 Implement the solution

- What action will be taken?
- Who will do it?
- When? For how long?
- Where? How? Why?

Step *5*

Choosing a solution doesn't immediately solve a problem. Putting a solution into action may prove as difficult as deciding on one.

The implementation stage requires **action planning**:

- **What** must be done?
- **Who** will do it?
- **When** will it be started? When will key milestones be completed?
- **Where** will the necessary actions take place?
- **How** will the necessary actions be carried out?
- **Why** are these actions a solution?

6

Evaluate the outcome

- **Select measures**
- **Collect data**
- **Report on what has been accomplished**

Step *6* Most groups neglect or shortchange the evaluation step.

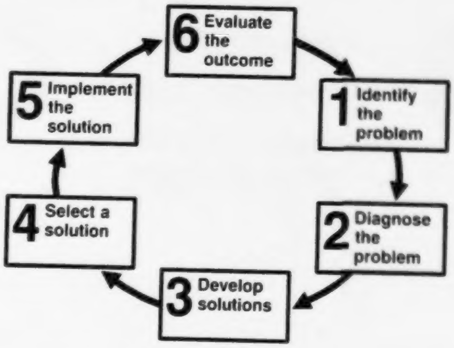
In simplest terms, evaluation is the **monitoring** that any project needs to ensure that milestones are met, costs contained, work completed.

But the more effective groups plan additional **feedback** mechanisms to detect the need for midcourse corrections and to ensure that the problem gets solved without creating new problems.

Collecting data and reporting on what has been accomplished keeps a group credible with its constituents.

Reflecting on its own processes and results keeps a group effective.

A continuous process


6 Evaluate the outcome
1 Identify the problem
2 Diagnose the problem
3 Develop solutions
4 Select a solution
5 Implement the solution

Review Reflecting on its results helps a group identify its next step, bringing the problem-solving process full circle.

Remember these six steps:

1. Identify the problem.
2. Diagnose the problem.
3. Develop solutions.
4. Select a solution.
5. Implement the solution.
6. Evaluate the outcome.

Keep the six-step model in mind as you work to solve problems. It will prove invaluable in keeping group discussion on target. Any member can remind the group, "Aren't we trying to diagnose the problem at this stage? Why are we talking about solutions?"

The model is also a reminder that a group has not finished its work when it decides on the best solution. Without the framework of the model, it is all too easy to forget the followthrough—the implementation and evaluation planning—that makes the solution a reality.

HANDOUT 1

The Lawn: Problem or Symptom

LAWN STATEMENTS*

Instructions Reproduce one set of the following 25 statements for each working group. Cut the slips apart along the dotted lines.

Distribute the slips evenly among the members of each group.

In the past, I have always had a beautiful lawn.

The lawn is dying in spots, and it looks awful.

The dead spots have ridges.

Moles make ridges.

The lawn has never had ridges before.

---

* Reproduced from "The Lawn: Problem or Symptom?" by William W. Kibler and William T. Milburn, in *The 1983 Annual for Facilitators, Trainers, and Consultants*, ed. Leonard D. Goodstein and J. William Pfeiffer (San Diego), pp. 68–71, with the permission of University Associates, Inc.

I take great pride in my lawn.

My neighbor's lawn does not have dead spots.

My neighbor is making fun of my lawn.

I don't like my neighbor.

My lawn does not need water.

My lawn does not need fertilizer.

My riding mower is broken.

I want to get rid of the dead spots in my lawn.

Moles have tiny eyes.

Moles have concealed ears.

Moles work in the dark.

Moles have soft fur and eat grubs.

My neighbor has a mole on his neck.

My main concern is my lawn.

My push mower is working fine.

Moles are eager eaters.

My lawn has good drainage.

My lawn is frustrating me.

Moles tunnel in search of food.

I do not like moles.

HANDOUT 1

Brainstorming

GUIDELINES FOR BRAINSTORMING

1. **Don't critique ideas.**
   Don't take time to evaluate ideas; it interrupts the flow of ideas. Evaluating ideas is another, later step in the process.

   Don't kill or discourage contributions with judgmental remarks such as
   That is ridiculous! or
   We've already tried that! or
   Who ever heard of that?

2. **Use freewheeling imagination.**
   Let your mind work freely. Don't prevent ideas from emerging by rigidly adhering to logical thinking. Don't feel bound by budget, time, staff, or other resource constraints. Share mental images, synonyms, plays-on-words, free associations, farfetched ideas.

3. **Build on others' ideas.**
   Combine, expand, hitchhike, piggyback.

4. **Aim for quantity.**
   The more ideas you can bring out, the better. Don't worry about duplicates. You are not aiming for quality at this point, only quantity.

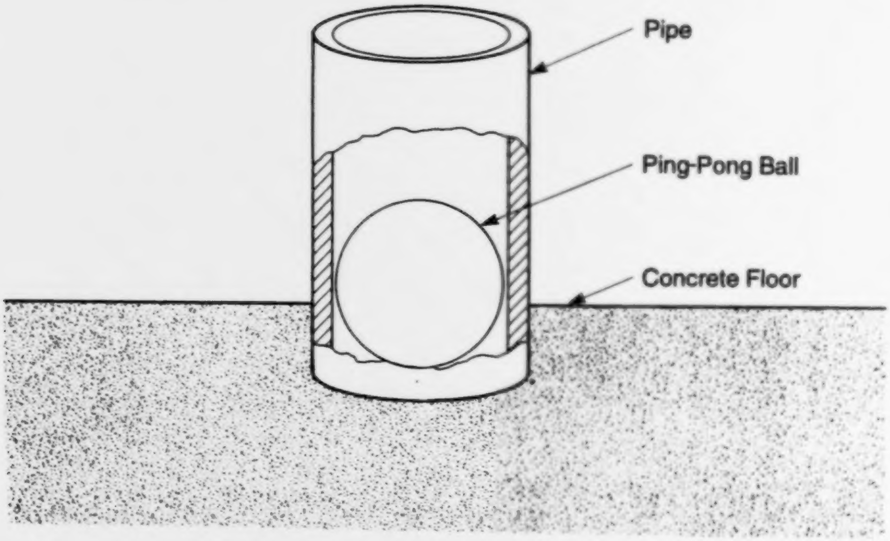
5. **Record each idea.**
   Record each idea on flipchart paper exactly as it is presented. Try to keep it brief but faithful to the wording of the presenter.

HANDOUT 2

Brainstorming

PRACTICE PROBLEM

A steel pipe (shown in cross section below) is embedded in the concrete floor of a bare room. The inside diameter of the pipe is .06" larger than the diameter of a ping-pong ball (1.50") that is resting at the bottom of the pipe.



You and your group are in the room with the following objects:

- 100′ of clothesline
- a carpenter's hammer
- a box of Wheaties
- a chisel
- a file
- a wire coat hanger
- a monkey wrench
- a light bulb

In 5 minutes, list as many ways as you can think of to get the ball out of the pipe without damaging the ball, pipe, or floor.

Select a recorder from the group to write down group members' suggestions.

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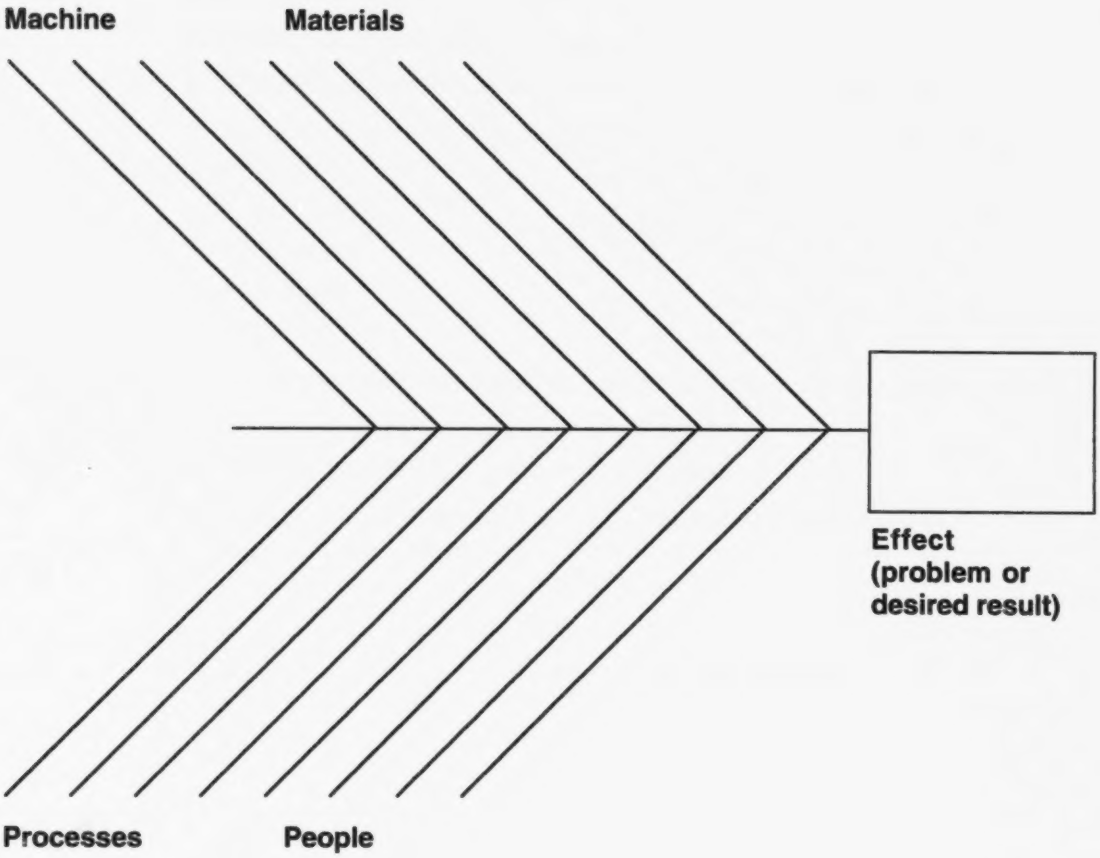
HANDOUT 1

Cause and Effect Analysis

FISHBONE DIAGRAM


Machine
Materials
Effect (problem or desired result)
Processes
People

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HANDOUT 2

Cause and Effect Analysis

GROUP INSTRUCTION SHEET

1. Select a real problem that the workplace group is working on or knows must be addressed.
2. Select a recorder.
3. Draw a fishbone diagram on the flipchart.
4. Write the problem you will be analyzing in the "effect" box.
5. Brainstorm *contributing factors* or potential causes under four categories:
    - machine
    - materials
    - process
    - people
6. Circle the likely *root causes*, selecting those that
    - appear more than once on the diagram or
    - contribute to other contributing factors.
7. Determine the *method* that the group will use to verify which cause is indeed the root cause.

HANDOUT 1

Pareto Analysis

STEPS IN COPIER AVAILABILITY ANALYSIS

The following pages describe the steps in Pareto analysis, using as an example the problem,

A copier never seems to be "available" when needed.

Assume that the root causes tentatively identified earlier include:

- running out of supplies
- need to establish priority guidelines
- too many copies allowed
- machine providing poor copies
- machine not operating

Step *1* **Gather data** on causes tentatively identified as root causes of the problem. To do this, decide:

- **Who** will gather the data?
  One or more observers or interviewers? Self-reporting by persons affected? Other?
- What data-gathering **method** will be used?
  Inspection of records? Interviews? Survey? Observation? Other?
- **How long** will you collect data?
  Spot check at regular intervals over a period of time? One full cycle of the process in question? Test period with longer period to follow if more data are needed? Other?
- What **standard unit of measurement** can you use so that data can be compared?
  Staff hours expended? Income foregone? Cost of replacement? Hours of downtime? Units not produced? Frequency of cause or problem occurring? Other?

See back of this page for a sample checksheet.

Sample checksheet for employee self-reporting of problems with copier

ATTENTION COPIER USERS

Please help us to clarify the problem with this copier.

CHOOSE ONE. Whenever you use the copier, put a tic mark under the **ONE** statement that **BEST** describes your experience.

This survey will continue for 2 weeks, from _______ to ________.
Pat Smith can answer any questions you may have about the survey.
Thank you for your help.

262 1. I had **no problem** or delay getting the copies I wanted. 𝍸 ||

6 2. I made my copies, but they were not good **quality**.
𝍸 |

12 3. I couldn't make copies because there was **no copier paper**.
𝍸 𝍸 ||

4 4. I couldn't make copies because there was **no toner**.
||||

41 5. There were other users ahead of me, but I had to **wait less than 5** minutes.
𝍸 𝍸 𝍸 𝍸 𝍸 𝍸 𝍸 𝍸 |

15 6. There were other users ahead of me, and I had to **wait 5 or more** minutes.
𝍸 𝍸 𝍸

7 7. I had a **priority job**, and I had to wait behind other users or break in line to get my job done.
𝍸 ||

20 8. The copier malfunctioned while I was using it, but **I was able to fix** it using the instruction cards.
𝍸 𝍸 𝍸 𝍸

33 9. The copier was not operating or malfunctioned while I was using it, and **I was unable to fix** the error.
𝍸 𝍸 𝍸 𝍸 𝍸 𝍸 |||

3 10. **None of the above** describes the problem I had with the copier.
|||

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Step 2 Tally and transfer data to data table.

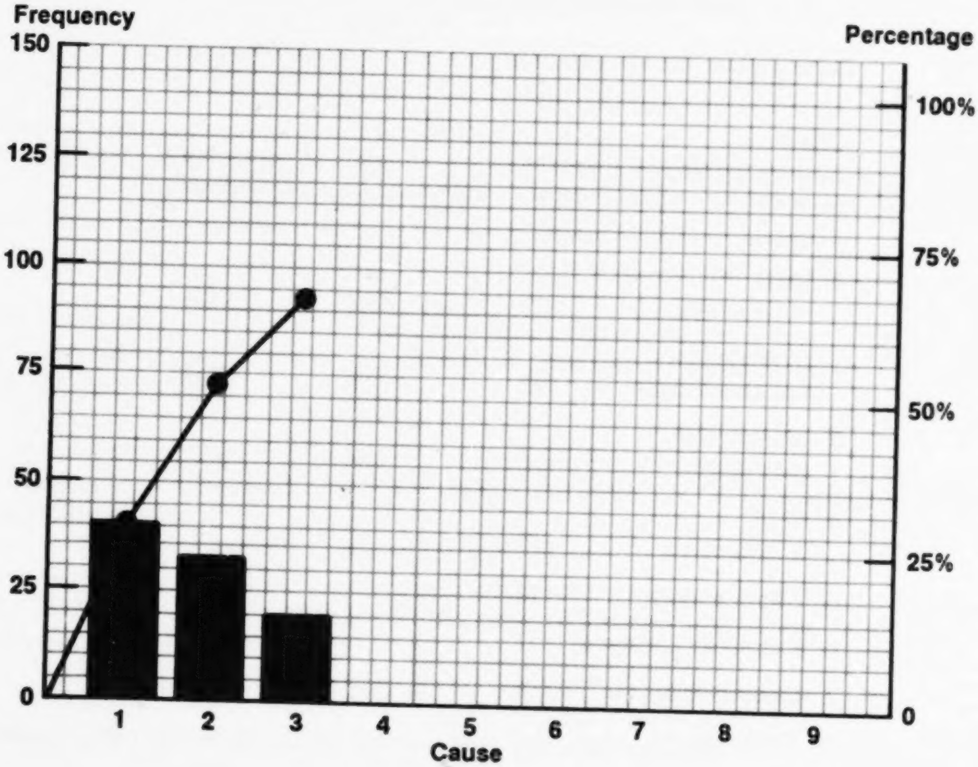
- Add up the tic marks under each of the proposed causes. Omit the "no problem" group since it doesn't represent a problem. (It does, however, provide a baseline to help you assess the scope of the problem and how much effort to expend on it.)
- Rewrite the cause list, putting the causes in order from most to least frequently cited. This list becomes column 1 in a data table from which you will build a Pareto diagram. Transfer the total for each cause from the checksheet to column 2 of the table. Total column 2. (This has been done below.)
- Divide each number in column 2 by the column 2 total and write the result as a percentage in column 3. This percentage represents the proportion of the problem that each cause contributes. (Calculate the percentages for causes 4–9 below.)
- In column 4, record the running total of percentages from column 3. (Complete the cumulative percentage column below.)

Data Table: Copier Availability over 2-Week Period

Cause (why copier was unavailable)	Number of occurrences	Percentage of total occurrences	Cumulative percentage
1. Wait, < 5 minutes	41	29%	29%
2. Malfunction, not user fixable	33	23%	52%
3. Malfunction, user fixable	20	14%	66%
4. Wait, ≥ 5 minutes	15		
5. Paper supply	12		
6. Priority job delayed	7		
7. Copy quality	6		
8. Toner supply	4		
9. Other	3		100%
Totals	141	100%	

Step *3* Convert data to bar chart and plot cumulative line.

- Label the left vertical axis "Frequency" (or other standard unit of measurement). The scale must be high enough to include the total frequencies of all causes analyzed (here, 141).
- Along the horizontal axis, construct a bar for each cause or factor, with the height of the bar indicating the freqency of occurrence of the cause. Display the bars in descending order of frequency: The leftmost bar will represent the highest frequency cause, and the rightmost bar, the lowest frequency. (Bars for three causes are drawn. Draw the remaining bars.)
- Label the right vertical axis "Percentage." 100% on this scale should be level with the total frequency (here, 141) on the left vertical scale.
- Above each bar, plot the cumulative percentage represented by the cause and all preceding causes. Connect these points in the cumulative line. (Three of these points have been plotted and the cumulative line begun. Plot the remaining six points, and complete the line.)



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HANDOUT 2

Pareto Analysis

GROUP INSTRUCTION SHEET

1. **Gather data.**
   - Identify at least five causes or factors contributing to the problem you have selected.
   - Assume that the standard unit of measurement is frequency of occurrence, and assign a "best guess" number of occurrences (for the coming month) to each of the five or more causes. Your best guess should reflect your judgment regarding the relative importance of each factor. Compute the total number of occurrences.
2. **Tally and transfer data.**
   - List the five causes in order from most frequently occurring to least frequently occurring.
   - Compute the percentage of the total occurrences that each cause or factor represents.
3. **Graph the data in a Pareto diagram, including a cumulative line.**
   - On graph paper, draw a vertical axis high enough to represent the total occurrences. Label it "Frequency."
   - On the horizontal axis, construct a bar for each cause or factor, with the height of the bar indicating the frequency of occurrence. Draw the bars in descending order of frequency: The leftmost bar will represent the largest category, and the rightmost bar, the smallest.
   - Draw a vertical scale on the right of the graph, labeled "Percentage." Plot the cumulative percentage for each cause or factor, and draw a cumulative line through those plot points.

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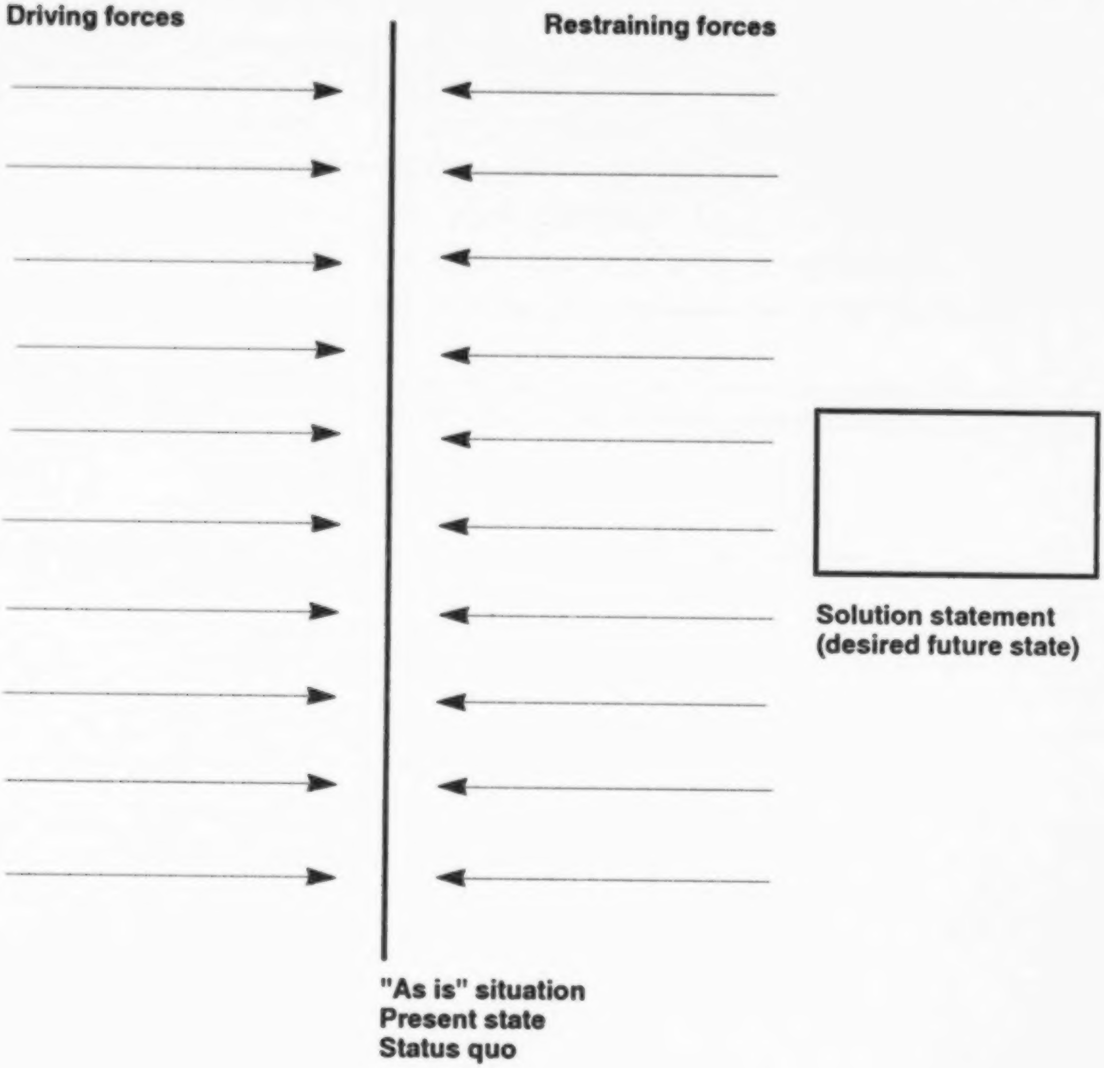
HANDOUT 1

Force Field Analysis

FORCE FIELD DIAGRAM


Driving forces
Restraining forces
Solution statement (desired future state)
"As is" situation
Present state
Status quo

HANDOUT 2

Force Field Analysis

GROUP INSTRUCTION SHEET

1. Select a recorder.
2. Draw a force field diagram on the flipchart.
3. Choose a solution or likely solution to a problem identified by the group.
4. Brainstorm the driving and restraining forces.
5. Assess the strength of each force.
6. Identify a strategy to increase one of the driving forces.
7. Identify a strategy to reduce or eliminate one of the restraining forces.
8. Identify a strategy for changing the direction of one of the restraining forces—that is, for turning a negative force into a positive force.

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HANDOUT 3

Force Field Analysis

KURT LEWIN'S FORCE FIELD ANALYSIS*

by Morris S. Spier

Change in a group or an organization means essentially an alteration in the way things get done in the system. It may mean changes in compensation methods, sales and production levels, leadership styles, or interpersonal functioning, among others. Kurt Lewin's Force Field Analysis provides a framework for problem-solving and for implementing planned change efforts around a wide range of group and organizational issues. By way of reviewing Lewin's concepts, this paper describes how a group of managers applied the method when they met to discuss their effectiveness as a work team.

In talking to each other, the group members soon recognized that their day-to-day effectiveness and their ability to improve it were hampered by the degree to which they felt free to confront each other on relevant task and interpersonal issues. Having agreed that they needed to talk more openly with each other, each individual member now waited for someone else to "be open." Much of the frustration with this technique was soon summarized in the question, "Why can't we change the way we work together?"

DEFINITION OF THE PROBLEM

At first the reason for "no change" seemed to be "that's just the way things are," but as the managers looked more deeply at the climate in which they were operating, they identified some factors or pressures that strongly supported changes in the direction of more openness: (a) the team members wanted to perform effectively for the sake of their own careers as well as the good of the organization; (b) they were functionally interdependent and had to work together to accomplish their goals; (c) there were existing work-related problems that were having an impact on effectiveness (for example, responsibility without authority and unclear job definitions); (d) some interpersonal tension already existed in the system (for example, destructive competition and passive and overt hostility).

As they continued their analysis, the managers also identified pressures that acted as powerful obstacles to change: (a) many of the group members lacked experience and skills in dealing with conflict and more open feedback; (b) the risk of the "unknown" was high in terms of "What will we open up?" and "Will we hurt each other?"; (c) there was a concern that if certain issues were brought up "things could get worse"; and (d) there were questions about whether top management would support a more open climate or whether they would respond with "That's not the way things are done around here." Thus, the definition of the problem took the form of recognizing that opposing forces like these in the environment determined the existing level of interpersonal functioning in the group.

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* **Reproduced from *The 1973 Annual Handbook for Group Facilitators*, ed. John E. Jones and J. William Pfeiffer (San Diego), pp. 111–113, with the permission of University Associates, Inc.**

Figure I summarizes this "diagnosis" of the problem. The top and bottom of the figure represent opposite ends of a continuum of a team's functioning in terms of its interpersonal climate. The environmental conditions and pressures supportive of more openness in the system are the *driving forces* represented by the arrows pushing upward which, at the same time, act as barriers to the team's movement backward toward a more closed system. The arrows pushing downward represent the *restraining forces* which are keeping the system from moving toward a higher degree of openness and, at the same time, are driving forces toward a climate of lower interpersonal risk.

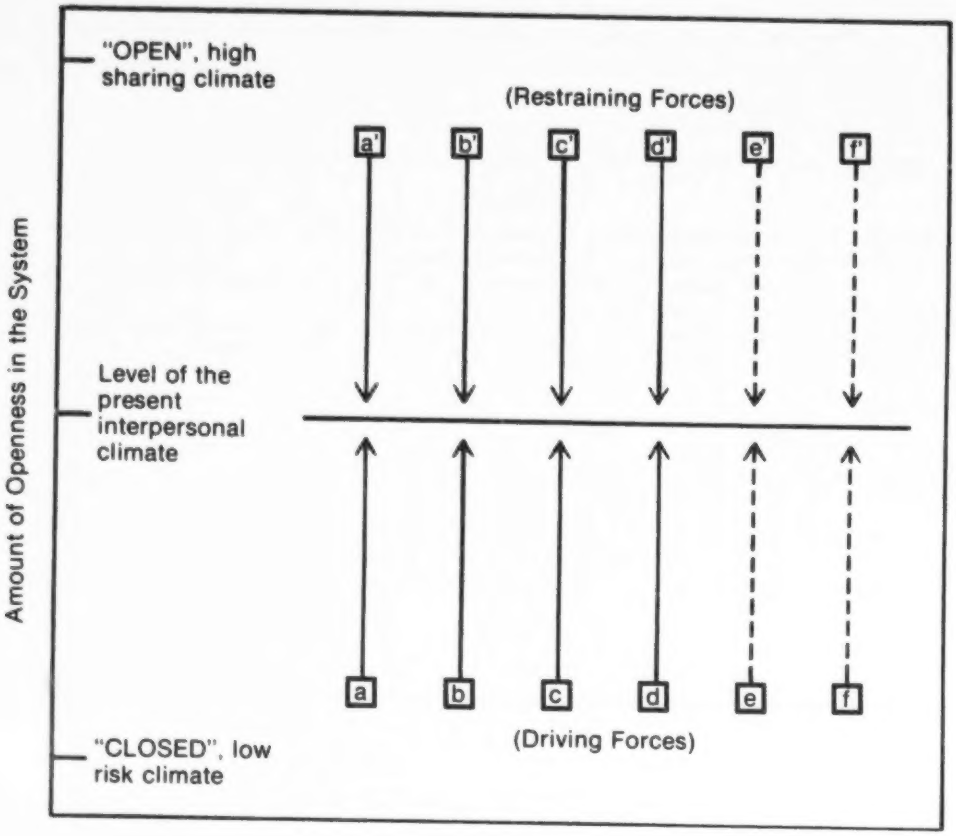
A group of forces as shown in Figure I may be called a "force field." The length of the arrows in the force field describes the relative strength of the forces: the longer the arrow the stronger the force. For descriptive purposes, the forces in Figure I are shown as equal in strength, but a force field can be made up of forces of varying strengths. Indeed, the strength of any single force may itself vary as we get closer to either end of the continuum of openness. A group or organization stabilizes its behavior where the forces pushing for change are equal to the forces resisting change. Lewin called the result of this dynamic balance of forces the "quasi-stationary equilibrium." In our example, the equilibrium is represented in Figure I by the line marked "level of the present interpersonal climate." It is at this level of functioning that the system is not completely "closed" in terms of a total lack of openness, feedback and risk taking, but neither is there the degree of each needed to work together as effectively as might be. The arrows meeting at the line indicate that the current state is being maintained somewhere between the end points on a continuum of team functioning by a balance of discernable driving and restraining forces.

THE IMPLEMENTATION OF CHANGE

Since the management team is interacting at its present level because of a balance of organizational and individual needs and forces, change will only occur if the forces are modified so that the system can move to and stabilize itself at a different level where the driving and restraining forces are again equal. The equilibrium can be changed in the direction of more openness by: (1) strengthening or adding forces in the direction of change, (2) reducing or removing some of the restraining forces, or (3) changing the direction of the forces.

Any of the basic strategies may change the level of the team's functioning, but the secondary effects will differ depending on the method used. If a change in the equilibrium is brought about only by strengthening or adding driving forces, the new level may be accomplished by a relatively high degree of tension which itself may reduce effectiveness. In Figure I, the line representing the "level of the present interpersonal climate" will move upward toward more openness under the pressure of strengthened driving forces. The additional pressures upward, however, will be met by corresponding increases in resistance. The resulting increase of tension in the system will be characterized by a lengthening of the arrows pushing upward and downward at the new level.

FIGURE I.
The Force Field


"OPEN", high sharing climate
(Restraining Forces)
a'
b'
c'
d'
e'
f'
Amount of Openness in the System
Level of the present interpersonal climate
a
b
c
d
e
f
(Driving Forces)
"CLOSED", low risk climate

Attempts to induce change by removing or diminishing opposing forces will generally result in a lower degree of tension. An important restraining force that requires removal in our example is the managers' lack of experience and skills in dealing with conflict. As the managers acquire new interpersonal skills, a key restraining force will be removed. Moreover, changes accomplished by overcoming counterforces are likely to be more stable than changes induced by additional or stronger driving forces. Restraining forces which have been removed will not push for a return to old behaviors and ways of doing things. If changes come about only through the strengthening of driving forces, the forces which support the new level must be stable. For example, many work groups are stimulated toward new ways of working together by participating in "team-building" sessions, only to find the former behaviors and habits re-emerging shortly after return to the day-to-day job. If the change started by the learning and enthusiasm of the team-building is to continue after the session, some other driving force must be ready to take the place of the meeting's stimulation.

One of the most efficient ways to get change is to change the direction of one of the forces. If the managers in our example can be persuaded to "test" top management's support for a more open climate, they might find more encouragement than they previously thought existed. Thus, the removal of a powerful restraining force (expected top management disapproval) becomes an additional, strong driving force (actual top management support) in the direction of change.

REFERENCES

Carzo, R. and Yanouzas, J.N. ***Formal Organization: A Systems Approach***. Homewood, Illinois: Irwin-Dorsey, 1967, pp.501-506. (An application of the method to changes in industrial production levels.)

Jenkins, D.H. "Force Field Analysis Applied to a School Situation." In Bennis, W.G., Benne, K.D., and Chin, R. (Eds.), ***The Planning of Change***. New York: Holt, Rinehart, Winston, 1969, pp. 238-244.

Lewin, K. "Quasi-stationary Social Equilibria and the Problem of Permanent Change." In Bennis, W.G., Benne, K.D., and Chin, R. (Eds.), ***The Planning of Change***. New York: Holt, Rinehart, Winston, 1969, pp. 235-238.

HANDOUT 1

Applying the Problem-Solving Model and Tools to a Real Problem

PROBLEM-SOLVING WORKSHEET

Step 1 Identify the problem.

1a. Brainstorm—and record on flipchart paper—a list of "symptoms" or characteristics of your organization that indicate that a problem might exist.

1b. Sort through the symptoms that you have identified, lining through those that derive from other symptoms and restating the remaining ones as problems that need to be addressed.

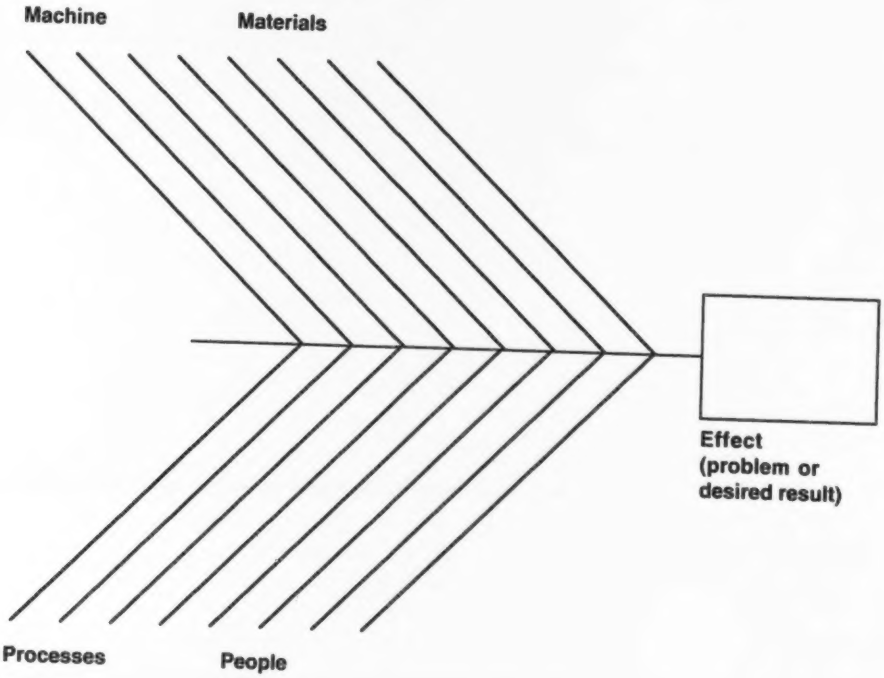
1c. Select one problem to work on, using the following criteria:

- You can do something about it.
- The problem has an impact on people and the organization.
- The problem is of sufficient importance to warrant your attention.

1d. Agree on an initial statement of the problem:

Step 2 Diagnose the problem.

2a. Draw a cause and effect (fishbone) diagram and brainstorm possible causes for the problem.


Machine
Materials
Effect (problem or desired result)
Processes
People

2b. From the cause and effect analysis, choose at least five "root" causes or factors contributing to the problem.

1.
2.
3.
4.
5.

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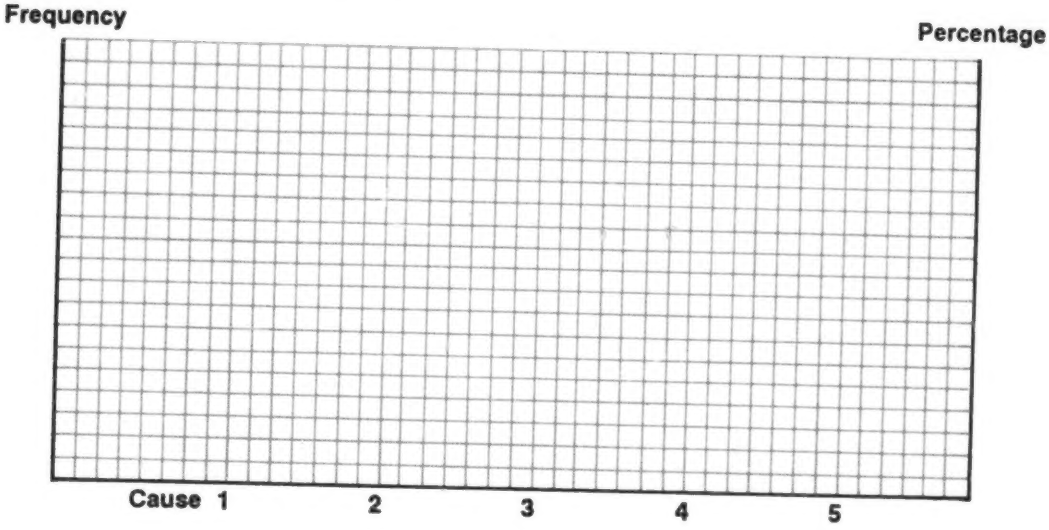
2c. Choose a standard unit of measurement (e.g., frequency of occurrence, units not produced, dollars or personhours lost) that will allow you to compare root causes. Since you do not have time to gather real data, assign a "best guess" value for a given month to each of the causes.

Root cause	Frequency (or other measure)	Percentage of total occurrences	Cumulative percentage
1.			
2.			
3.			
4.			
5.			

2d. Renumber the root causes listed above from "1" (most) to "5" (least) to reflect the frequencies (or units, lost dollars, etc.) you assigned.

2e. Develop a Pareto diagram to display the relative importance of each of the selected causes.



2f. What is the real problem? Restate the problem in light of the causes you have explored and the data you have gathered:

Step 3 Develop solutions.

3a. Brainstorm all the possible solutions to the problem.

3b. Integrate and combine similar solutions if possible.

Step 4 Select a solution.

4a. Evaluate your potential solutions using the solution selection criteria of technical quality and acceptability. Check off each criterion that a potential solution meets.

	Technical quality					Acceptability			
Potential solution	Timely	Cost-effective	Reliable	Efficient	Adaptable	Implementers support	Risk is manageable	Affected people benefit	Company benefits
1.									
2.									
3.									
4.									
5.									
6.									
7.									
8.									
9.									

4b. Place an asterisk (*) next to each of the five potential solutions that meet most of the criteria.

4c. List the five solutions marked with an asterisk and conduct a force field analysis on each of them.

	Driving forces →	← Restraining forces
Potential solution **1.**		
2.		
3.		
4.		
5.		

4d. Agree as a group on the solution that you believe will best solve the problem.

Step 5 Plan to implement the solution.

Describe the implementation plan for the solution you chose, using the following guidelines:

1. **What** actions must be taken?
2. **Who** will take them?
3. **When** will they be completed? Are there intermediate milestones?
4. **Where** will the actions be taken?
5. **How** will they be carried out?
6. **Why** is this series of actions a solution? (Does it solve the problem?)

Step 6 Plan to evaluate the process and outcome.

6a. Brainstorm some possible measures you can employ that will enable you to monitor and evaluate the success of your implementation plan.

6b. Brainstorm the kinds of information you will need for each measure and where and how you can find that information.

HANDOUT 1

A Problem-Solving Exercise

INFORMATION SLIPS

Instructions Make one set of the eight information slips for each working group. Cut along the dotted lines, and distribute one slip to each group member. Distribute all eight slips: If there are fewer than eight group members, distribute second slips to some until all slips are distributed.

INFORMATION SLIP #1

Although you may ***tell*** your group what is on this slip, ***you may not pass it around*** for others to read.

Your group members have all the information needed to answer to the following question:

WHAT IS THE SALESMAN'S LAST NAME?

Only one answer is correct. You can prove it. Some of the information your group has may be irrelevant and will not help solve the problem.

Information:

The customer who drives the same make of car as the engineer graduated from the Juilliard School of Music in New York City.

INFORMATION SLIP #2

Although you may ***tell*** your group what is on this slip, ***you may not pass it around*** for others to read.

Information:

Harlow, Benson, and Turney are all employees of AT&T. One of them is a manufacturing manager, one is a salesman, and one is an engineer.

INFORMATION SLIP #3

Although you may ***tell*** your group what is on this slip, ***you may not pass it around*** for others to read.

Information:

The engineer graduated from Oregon State University (Corvallis, Oregon), where he was captain of the football team his senior year.

Carroll thinks that a vacuum tube is part of the water pump. When asked what a transistor is, he replied that he thought it was the name for the earphones used by United Nations delegates to listen to the translation of a speech.

INFORMATION SLIP #4

Although you may ***tell*** your group what is on this slip, ***you may not pass it around*** for others to read.

Information:

By a strange coincidence, the customers' cars match the cars of the AT&T employees. Thus, one customer and one employee each have MG coupes. One customer and one employee each have Plymouth coupes. One customer and one employee each have Volkswagon microbuses.

INFORMATION SLIP #5

Although you may ***tell*** your group what is on this slip, ***you may not pass it around*** for others to read.

Information:

The three customers of this company are Brown, Carroll, and Trent.

Harlow borrows the manufacturing manager's car to go camping because it is the only one large enough to hold Harlow's camping gear and his family of five.

INFORMATION SLIP #6

Although you may ***tell*** your group what is on this slip, ***you may not pass it around*** for others to read.

Information:

Trent graduated from Reed College (Portland, Oregon) in 1950 with honors in political science.

INFORMATION SLIP #7

Although you may ***tell*** your group what is on this slip, ***you may not pass it around*** for others to read.

Information:

Because he can't carry his wife and his cello at the same time, the customer who drives the MG is thinking of getting a larger car.

The engineer and one of the customers, who built his own hi-fi equipment complete with FM multiplexer, met for the first time last June at their college reunion.

INFORMATION SLIP #8

Although you may ***tell*** your group what is on this slip, ***you may not pass it around*** for others to read.

Information:

The customer who drives the Plymouth was born in Portland, Oregon, and completed all his formal education there.

Turney and his wife plan to buy a second car but can't agree on what kind. He wants to buy some foreign-made sports car, but she wants another American-made car.

HANDOUT 2

A Problem-Solving Exercise

SOLUTION AND RATIONALE

Solution Turney is the salesman.

Rationale

1. Since Turney's car is American-made (Slip 8), it must be the Plymouth (MGs are produced in England; VW buses are produced in Germany).
2. Since the manufacturing manager has the only car big enough for a family of five and camping equipment, he must have the VW bus (Slip 5).
3. Since Harlow wants to borrow the VW bus, he himself must drive the MG (Turney drives the Plymouth). The manufacturing manager, who owns the VW bus, must be Benson.
4. Since Benson is the manufacturing manager, the salesman is either Harlow or Turney.
5. The customer who graduated from Juilliard School in New York City drives either a Plymouth or an MG, the same make of car as the engineer (Slip 1).
6. The customer who drives the Plymouth completed all his education in Portland, Oregon (Slip 8).
7. Since Trent is the only customer to graduate from Reed College in Portland, Oregon (the other two having graduated from Oregon State University in Corvallis, Oregon, and from the Juilliard School in New York City), he must drive a Plymouth.
8. The customer from the Juilliard School in New York City, therefore, must drive an MG, the same make of car as the engineer.
9. Since Harlow (as we have seen) drives the MG, he, therefore, is the engineer.
10. Turney, therefore, is the salesman.

HANDOUT 1

A Modern Sculpture

DECISIONMAKING METHODS*

To Decide or Not To Decide

Whether we are aware of it or not, groups are making decisions all the time, some of them consciously and with reference to the major tasks at hand, some of them without much awareness and with reference to group procedures or standards of operation. It is important to observe how decisions are made in a group in order to assess whether the method is appropriate to the matter being decided upon and whether the consequences of given methods are really what the group members bargained for.

Group decisions are notoriously hard to undo. When someone says, "Well, we decided to do it, didn't we?" any budding opposition is quickly squashed. Often we can undo the decision only if we reconstruct it, understand how we made it, and test whether this method was appropriate.

Some Methods of Making Decisions

Some common methods by which groups make decisions include:

The Plop	"I think we should introduce ourselves". . . silence. *Group decision by omission.*
The Self-Authorized Agenda	"I think we should introduce ourselves. My name is Joe Smith. . . ." *Decision by one.*
The Handclasp	"I wonder if it would be helpful if we introduced ourselves?" "I think it would. My name is Pete Jones. . . ." *Decision by two.*

more ⇨

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* Excerpted and adapted from "What To Observe in a Group," by Edgar H. Schein, in the *NTL Reading Book for Human Relations Training*, 7th ed., ed. Lawrence Porter and Bernard Mohr (Alexandria, Va., 1982), pp. 72–74, with the permission of the NTL Institute for Applied Behavioral Science. Copyright © 1982.

Does Anyone Object? or, **We All Agree**	*Decision by a minority of one or more.*
Majority/Minority Voting	*Decision by the majority.*
Polling	"Let's see where everyone stands. What do you think, Sam? Sharon? . . ." *Decision by the "majority," with a strong incentive to join the majority.*
Consensus Testing	Exploring to test for opposition and to determine whether opposition feels strongly enough to be unwilling to implement the decision. *Not necessarily unanimity but essential agreement by all.*

Distinguishing Among Methods

The procedure can be tricky. For example, it sometimes happens that a decision to poll—which looks very democratic, because polling is considered democratic—can be made by self-authorization or by handclasp. At such a point, the alert group member will realize what is going on and insist that the group be clear on its decisionmaking style.

The decision a group makes about how it will make decisions can be the most important single factor in how well the group works as a group.

HANDOUT 1

Basic Consensus

Definition of Consensus

A group reaches consensus when

all members agree upon a single alternative, and

each group member can honestly say:

> I believe that you understand my point of view and that I understand yours.
>
> Whether or not I prefer this decision, I support it because
>
> —it was reached fairly and openly, and
>
> —it is the best solution for us at this time.

Guidelines on Reaching Consensus

1. Listen: Pay attention to others.
2. Encourage participation.
3. Share information.
4. Don't agree too quickly.
5. Don't bargain or trade support.
6. Don't vote.
7. Treat differences as a strength.
8. Create a solution that can be supported.
9. Avoid arguing blindly for your own views.
10. Seek a win–win solution.

HANDOUT 1

Lost at Sea

INDIVIDUAL WORKSHEET*

Instructions: You are adrift on a private yacht in the South Pacific. As a consequence of a fire of unknown origin, much of the yacht and its contents have been destroyed. The yacht is now slowly sinking. Your location is unclear because of the destruction of critical navigational equipment and because you and the crew were distracted trying to bring the fire under control. Your best estimate is that you are approximately one thousand miles south-southwest of the nearest land.

Below is a list of fifteen items that are intact and undamaged after the fire. In addition to these articles, you have a serviceable, rubber life raft with oars large enough to carry yourself, the crew, and all the items listed below. The total contents of all survivors' pockets are a package of cigarettes, several books of matches, and five one-dollar bills.

Your task is to rank the fifteen items below in terms of their importance to your survival. Place the number *1* by the most important item, the number *2* by the second most important, and so on through number *15*, the least important.

______ Sextant
______ Shaving mirror
______ Five-gallon can of water
______ Mosquito netting
______ One case of U.S. Army C rations
______ Maps of the Pacific Ocean
______ Seat cushion (flotation device approved by the Coast Guard)
______ Two-gallon can of oil-gas mixture
______ Small transistor radio
______ Shark repellent
______ Twenty square feet of opaque plastic
______ One quart of 160-proof Puerto Rican rum
______ Fifteen feet of nylon rope
______ Two boxes of chocolate bars
______ Fishing kit

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best copy available

HANDOUT 2

Lost at Sea

CONSENSUS BASICS

Definition of Consensus

A group reaches consensus when

all members agree upon a single alternative, and

each group member can honestly say:

> I believe that you understand my point of view and that I understand yours.
>
> Whether or not I prefer this decision, I support it because
>
> —it was reached fairly and openly, and
>
> —it is the best solution for us at this time.

Guidelines on Reaching Consensus

1. Listen: Pay attention to others.
2. Encourage participation.
3. Share information.
4. Don't agree too quickly.
5. Don't bargain or trade support.
6. Don't vote.
7. Treat differences as a strength.
8. Create a solution that can be supported.
9. Avoid arguing blindly for your own views.
10. Seek a win–win solution.

HANDOUT 3

Lost at Sea

TEAM WORKSHEET*

Instructions: This is an exercise in group decision-making. Your group is to employ the group consensus method in reaching its decision. This means that the prediction for each of the fifteen survival items *must* be agreed upon by each group member before it becomes a part of the group decision. Consensus is difficult to reach. Therefore, not every ranking will meet with everyone's complete approval. As a group, try to make each ranking one with which *all* group members can at least *partially* agree. Here are some guides to use in reaching consensus.

1. Avoid arguing for your own individual judgments. Approach the task on the basis of logic.
2. Avoid changing your mind if it is only to reach agreement and avoid conflict. Support only solutions with which you are able to agree at least somewhat.
3. Avoid "conflict-reducing" techniques such as majority vote, averaging, or trading in reaching your decision.
4. View differences of opinion as a help rather than a hindrance in decision-making.

______ Sextant
______ Shaving mirror
______ Five-gallon can of water
______ Mosquito netting
______ One case of U.S. Army C rations
______ Maps of the Pacific Ocean
______ Seat cushion (flotation device approved by the Coast Guard)
______ Two-gallon can of oil-gas mixture
______ Small transistor radio
______ Shark repellent
______ Twenty square feet of opaque plastic
______ One quart of 160-proof Puerto Rican rum
______ Fifteen feet of nylon rope
______ Two boxes of chocolate bars
______ Fishing kit

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HANDOUT 4

Lost at Sea

ANSWER AND RATIONALE*

According to the "experts," the basic supplies needed when a person is stranded in mid ocean are articles to attract attention and articles to aid survival *until rescuers arrive*. Articles for navigation are of little importance: Even if a small life raft were capable of reaching land, it would be impossible to store enough food and water to subsist during that period of time. Therefore, of primary importance are the shaving mirror and the two-gallon can of oil-gas mixture. These items could be used for signaling air-sea rescue. Of secondary importance are items such as water and food, e.g., the case of Army C rations.

A brief rationale is provided for the ranking of each item. These brief explanations obviously do not represent all of the potential uses for the specified items but, rather, the primary importance of each.

1–Shaving mirror
Critical for signaling air-sea rescue.

2–Two-gallon can of oil-gas mixture
Critical for signaling–the oil-gas mixture will float on the water and could be ignited with a dollar bill and a match (obviously, outside the raft).

3–Five-gallon can of water
Necessary to replenish loss by perspiring, etc.

4–One case of U.S. Army C rations
Provides basic food intake.

5–Twenty square feet of opaque plastic
Utilized to collect rain water, provide shelter from the elements.

6–Two boxes of chocolate bars
A reserve food supply.

7–Fishing kit
Ranked lower than the candy bars because "one bird in the hand is worth two in the bush." There is no assurance that you will catch any fish.

8–Fifteen feet of nylon rope
May be used to lash equipment together to prevent it from falling overboard.

9–Floating seat cushion
If someone fell overboard, it could function as a life preserver.

10–Shark repellent
Obvious.

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* Reproduced from "Lost at Sea," by Paul M. Nemiroff and William A. Pasmore, in *The 1975 Annual Handbook for Group Facilitators*, ed. John E. Jones and J. William Pfeiffer (San Diego), pp. 33–34, with the permission of University Associates, Inc. Officers of the U.S. Merchant Marine ranked the 15 items and provided the "correct" solution to the task.

11—One quart of 160-proof Puerto Rican rum
Contains 80 percent alcohol—enough to use as a potential antiseptic for any injuries incurred; of little value otherwise; will cause dehydration if ingested.

12—Small transistor radio
Of little value since there is no transmitter (unfortunately, you are out of range of your favorite AM radio stations).

13—Maps of the Pacific Ocean
Worthless without additional navigational equipment—it does not really matter where you are but where the rescuers are.

14—Mosquito netting
There are no mosquitoes in the mid Pacific.

15—Sextant
Without tables and a chronometer, relatively useless.

The basic rationale for ranking signaling devices above life-sustaining items (food and water) is that without signaling devices there is almost no chance of being spotted and rescued. Furthermore, most rescues occur during the first thirty-six hours, and one can survive without food and water during this period.

HANDOUT 5

Lost at Sea

SCORING GRID*

Item	Step 3 Individual Difference	Step 1 Individual Ranking	Key	Step 2 Team Ranking	Step 4 Team Difference
Sextant			15		
Shaving Mirror			1		
Five-Gallon Can of Water			3		
Mosquito Netting			14		
One Case Army C Rations			4		
Map of the Pacific Ocean			13		
Seat Cushion (Flotation)			9		
Two-Gallon Can Oil-Gas Mixture			2		
Small Transistor Radio			12		
Shark Repellent			10		
20 Sq. Ft. Opaque Plastic			5		
1 Quart of 160 Proof Rum			11		
Fifteen Feet Nylon Rope			8		
Two Boxes of Chocolate Bars			6		
Fishing Kit			7		
Step 5 Total columns under Steps 3 and 4					
	Individual Score				Team Score

	TEAM NUMBER 1	2	3	4	5	6
Step 6 Average individual score						
Step 7 Team score						
Step 8 Gain score (average individual score minus team score)						
Step 9 Lowest individual score						
Step 10 Number of individual scores lower than team score						

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* Adapted from "Lost at Sea," by Paul M. Nemiroff and William A. Pasmore, in *The 1975 Annual Handbook for Group Facilitators*, ed. John E. Jones and J. William Pfeiffer (San Diego), p. 29, with the permission of University Associates, Inc.

SCORING INSTRUCTIONS

1. Record your individual ranking under **Step 1**.
2. Record the team's ranking under **Step 2**.
3. The experts' ranking is already recorded on the grid under **Key**. Record under **Step 3** the differences between your individual ranking of each item and that of the experts. For example, if the experts rank a particular item 9 and your answer is 3, record a 6 under "individual difference" for that item. (*Don't* record a minus sign if your ranking happens to be higher than the experts'.)
4. Similarly, record under **Step 4** the differences between the team's and the experts' ranking for each item.
5. Total the numbers in the first column to get your individual score (**Step 5**). Total the numbers in the last column to get the team score.
6. Record the average individual score for each team on the line labeled **Step 6**. (Ask for individual scores for each team, total them on the calculator, and divide by the number of members on the team.)
7. Copy each team's score (from Step 5) on the **Step 7** line under the team's number.
8. Record in **Step 8** the difference between each team's average individual score and the team score. If the team score is lower (lower equals better) than the average individual score, there was a gain (+) as a result of teamwork. If the team's score is higher than the average individual score, there was no gain (–).
9. Record in **Step 9** the lowest (best) individual score from each team.
10. Record in **Step 10** the number of individual scores from each team that were lower (better) than the team score.

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HANDOUT 1

Techniques To Accelerate Consensus

FOUR TECHNIQUES FOR ACCELERATING CONSENSUS

Nominal Group Technique

Definition A consensus-accelerating technique designed **to produce a silent and individual generation of ideas and a group consensus based on individual rankings** of several preferred ideas.

Process

Step 1

Generate ideas silently.

Each group member, in response to a problem, silently and independently generates three or more ideas and records each idea briefly on a separate index card. The facilitator collects the cards.

Step 2

Record ideas exactly on flipchart paper.

The facilitator tapes several pieces of flipchart paper side by side on the wall. He or she then divides the collected cards among several group members. These "recorders" then copy the cards' contents, exactly as written and with extra space between ideas, on the flipchart pages.

The facilitator assigns each idea a number.

Step 3

Discuss and clarify ideas.

The group discusses each idea, clarifying its meaning. A recorder, with the agreement of all group members, merges ideas or rewrites them for greater clarity (and assigns new numbers to newly formulated ideas).

Step 4

Individually vote on and rank ideas.

Each group member selects the five ideas he or she prefers and writes the number of each in the center of an index card, one number per card.

Each group member then ranks his or her five ideas by placing a ⑤ in the top right corner of the index card containing the most important idea, a ④ in the corner of the second most important idea, and so on.

The facilitator collects the index cards.

Nominal Group Technique (continued)

Step 5

Display and discuss rankings.

The facilitator divides the index cards by idea number (the number in the center of the card) and distributes them to several group members to record the rankings. Under each idea on the flipchart pages, a recorder displays from highest to lowest the rankings (the circled numbers in the upper right corners of the cards) that group members have assigned.

The group discusses the outcome of the voting and ranking and seeks consensus.

If there is no consensus, the group conducts a second round of voting and ranking.

Multivoting

Definition A consensus-accelerating technique designed **to reduce a large number of ideas** to a more manageable three to five ideas quickly.

Process

Step 1 **Clarify ideas.**

The facilitator posts on the wall a list of ideas the group has previously brainstormed and assigns a number to each idea.

The group clarifies each idea. With agreement from group members, the facilitator edits ideas and combines similar ones.

Group members may lobby for their favorite ideas—but briefly, since final judgments will be based on voting.

Step 2 **Vote privately for half of the ideas.**

Each group member is allowed a number of votes equal to half of the total number of items on the list. The facilitator issues each group member that number of index cards. Each group member privately votes for an item by writing the item's number on an index card.

Step 3 **Tally votes and narrow the candidate list.**

The facilitator collects the index cards and tallies them on the flipchart by placing a tic mark below each item for each vote it receives.

With group input, the facilitator then circles those items receiving a relatively higher number of votes than the others. Circled items remain as candidates in a second round of voting.

Step 4 **Repeat steps 2 and 3.**

In the second and subsequent rounds of voting, each member casts a number of votes equal to half the number of items remaining. Votes are cast on index cards, collected, and tallied. Items receiving a relatively higher number of votes remain as candidates for another round of voting until the list is narrowed to the desired number of items.

Weighted Ranking

Definition A consensus-accelerating technique designed **to put a list of options into priority order** from individual rankings.

Process

Step 1

Clarify ideas.

The facilitator posts on the wall a list of ideas the group has previously brainstormed and assigns a number to each idea.

The group clarifies each idea. With the agreement of the group members, the facilitator edits ideas and combines similar ones.

Step 2

Individually rank all items.

Each group member writes the number of each idea in the center of a different index card.

Each group member privately assigns each item a ranking by writing a number between 1 and *n* (the total number of items) in the upper right corner of the card and drawing a circle around it. The higher the number, the higher the idea's priority.

Step 3

Total rankings to determine group priorities.

The facilitator collects the cards and separates them into piles by item number (the number in the middle of the card).

The facilitator records all of the rankings for each item next to the item on the flipchart and totals the rankings for each item.

The highest total represents the group's first choice; the second highest total, the group's second choice; and so on.

Sticker Elimination Method

Definition

A consensus-accelerating technique designed **to reduce a large number of options** to a manageable number or **to put a list into priority order quickly**.

Process

Step 1

Clarify ideas.

The facilitator posts on the wall a list of ideas the group has previously brainstormed and assigns a number to each idea.

The group clarifies each idea. With the agreement of the group members, the facilitator edits ideas and combines similar ones.

Step 2

Vote using stickers.

The facilitator distributes an equal number of brightly colored stickers to each group member.

Each group member places his or her stickers on the flipchart next to the items that represent his or her preferences or priorities. Several voting options are possible, depending on the outcome the group desires:

Option 1

If the group objective is **to narrow a long list** to a specific number of items, the facilitator gives each participant that specific number of stickers and asks him or her to place each sticker on a *different* item.

Option 2

If the group objective is **to determine the relative strength** of group members' preferences, the facilitator distributes a limited number of stickers (for instance, five) to each group member, who may use them as he or she chooses, including placing more than one sticker on an item, if desired.

more ➪

Option 3

If the objective is **to identify all of the important items** on a list, the facilitator makes an unlimited number of stickers available to each group member. Each group member places a sticker on each item he or she feels is important.

Option 4

Finally, different color stickers may be used to indicate preferences (e.g., green for first preference, red for second preference, etc.) in order to highlight the individual priorities assigned to each item.

HANDOUT 1

A Communication Experiment

DESIGN TEAM BRIEFING SHEET

Criteria Using the building blocks provided, you are to design a bridge that best meets the following criteria:

- stability (able to withstand gentle nudges and wind from human breath)
- height (high enough to allow tall toy ships to pass beneath it)
- length of span (long enough between supports to allow many toy ships to pass under it at the same time)
- aesthetically pleasing (so beautiful that it will draw tourists from all over the world)

Tasks You will have a total of 30 minutes in which to accomplish two tasks:

- to develop your architectural design and
- to instruct your construction team in how to implement your design.

Time You must allow at least the last 5 of your 30 minutes for instructing your construction team. After the 30 minutes have elapsed, no more instructions may be given, either verbally or nonverbally.

Restrictions Since you are designers, not builders, you are not permitted to have more than one-fourth of the bridge assembled at any one time. In other words, as soon as one-fourth of the bridge is designed, it must be disassembled before another fourth of the bridge may be assembled.

HANDOUT 2

A Communication Experiment

CONSTRUCTION TEAM BRIEFING SHEET

Task You have the responsibility of carrying out a task according to instructions to be given to you by your design team.

Once you have begun the task (30 minutes from now), the design team can give you no further instructions.

Time You will be scheduled to begin the task in 30 minutes.

The design team will call you in for instructions at any time. If you have not been summoned when 25 minutes have elapsed, report to the design team at that time to receive your instructions.

You are to complete the task as rapidly as possible.

Discussion While you are waiting for a call from your planning team, discuss the following topics and record your answers on flipchart paper:

1. How can you best organize as a team to get the job done?
2. What feelings and concerns are you experiencing while waiting for your instructions?

Your notes on these topics will be helpful during the discussion following the completion of the task.

HANDOUT 1

Interviewing Skills

DECIDING WHAT INFORMATION YOU NEED

As you develop your interview questions, keep the following three guidelines in mind.

1. Limit your search.

Pick one or two aspects of the problem to investigate.

Focus on

- the needs of individuals,
- the needs of the organization,
- how the issue is affecting individuals, and
- how the issue is affecting the organization.

Be specific about the information you are seeking.

2. Ask the six basic questions.

Who is involved?

What is wrong?

Where is the problem taking place? How widespread is it?

When did the problem begin?

Why has the problem occurred? What are the causes?

How would you suggest solving the problem?

Have any steps been taken? What were the results?

What resources exist to solve the problem?

What stands in the way of your proposed solution?

more ➪

3. Look ahead.

Look ahead as you plan and conduct your interviews to the steps necessary once the interviews are complete. Remember that the information you gather should enable you to*

Diagnose the problem, including:

Identify the specific problem.

Describe the parts of the organization and the people affected.

Determine whether the organization is ready for change and describe the forces driving and restraining change.

Describe the anticipated effects of a change—or no change—on employees and managers.

Select a solution that

addresses the concerns expressed by the people interviewed.

Implement the solution, including:

Decide what actions must be taken and by which members of the organization.

Decide when actions will begin and how long they will take.

Determine the evaluation measures needed to monitor progress and to confirm completion.

Decide how to communicate progress and results and to whom.

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* How many of these steps your interview results will need to support depends on the complexity of the problem you are trying to solve. You may elect to divide the information-gathering process, first interviewing constituents to get data to help define the problem and later conducting a second information-gathering activity to get ideas for or to test solutions.

HANDOUT 2

Interviewing Skills

CONDUCTING AND EVALUATING AN INTERVIEW

Guidelines on Conducting an Interview

- ☐ Make your questions clear, relevant, and meaningful.
- ☐ Use a manageable number of questions—20 or fewer.
- ☐ Introduce yourself and explain the purpose of the interview.
- ☐ Explain how the information is going to be used.
- ☐ Make the questions open-ended. Do not spend time eliciting information you already know. Avoid "leading" the interviewee.
- ☐ Be relaxed. Try to put the interviewee at ease.
- ☐ Summarize and restate what the interviewee tells you.
- ☐ Anticipate resistance, but avoid being defensive.
- ☐ Thank the interviewee.

Evaluating Interviewing Skills*

- ☐ Did the interviewer introduce him- or herself and explain the purpose of the interview?
- ☐ Did the interviewer explain how the information provided was to be used? By whom? In what form? Confidentially?
- ☐ Was the interviewer at ease? Did he or she put the interviewee at ease? What verbal cues or nonverbal behavior helped?
- ☐ Did the interviewer try to direct the interviewee's thinking or responses?
- ☐ Did the interviewer obtain the essential information the interviewee had about the situation?

5.3-2(103190) 1 of 1

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* Adapted from "Roxboro Electric Company: An OD Role-Play," by Harvey Thomson et al., in *The 1974 Annual Handbook for Group Facilitators*, ed. J. William Pfeiffer and John E. Jones (San Diego), p. 30, with the permission of University Associates, Inc.

HANDOUT 1

Presentation Skills

PRESENTATION DESIGN WORKSHEET

Step 1 **Develop rapport with the audience.**

My aim is to make my audience comfortable with me, with my topic, and with the manner in which I will be presenting my topic.

1a I will put my real self forward by doing and saying the following:

1b I will make my audience comfortable with my topic by doing and saying the following:

1c I will make my audience comfortable by adopting the following manner or style of presenting:

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Step *2* Make clear what the presentation will accomplish and how you will proceed.

2a I want to accomplish the following with my presentation:

2b My presentation can be outlined as follows:

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Step 3 Deliver the body of the presentation.

3a I will follow my outline to keep me organized as I develop my presentation. I will keep my audience involved by using the following audiovisual aids:

3b and I will engage the audience in dialogue by:

Step 4 **Summarize the main points.**

I will reinforce the importance of what I have said by doing and saying the following:

Step 5 **Conclude with a call for action.**

I will challenge my audience to do the following:

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HANDOUT 1
Effective Use of the Media

SAMPLE MEDIA INITIATIVE*

Labor, Management Partnership Will Help Erie Survive Changes

by Corrine Halperin, Executive Director
Northwestern Pennsylvania Area Labor–Management Council

Last year was a tough period for labor-management relations in northwestern Pennsylvania. Tough negotiations, tough strikes, tough settlements, and tough times confronted several companies and unions that, in the past, had been able to settle their differences peaceably at the bargaining table.

According to the Federal Mediation and Conciliation Service's statistics for 1986–87, the four local strikes represented less than 2 percent of the negotiations which took place in Erie County, but the anguish, violence and hard feelings which marked some of the work stoppages won't soon be forgotten by those involved, or by the community at large.

With our assigned mission of enhancing labor-management relationships in Erie, the Northwestern Pennsylvania Area Labor-Management Council has felt the effects of these problems, and we are striving to overcome the difficulties which faced us all this past year.

We look forward in 1988 to renewing our efforts, in keeping with our mission and the new initiatives coming out of Harrisburg. Governor Robert Casey's Partnership For Progress mirrors our own mission—improvement of labor-management relationships and improving the labor image of Erie (and Pennsylvania). The initiative calls for the establishment of an Office of Labor-Management Cooperation under the Department of Labor and industry.

This office, along with Pennsylvania MILRITE Council (our main funding source), adds emphasis to our role as the agency responsible for developing a strategy and action agenda to bring about these changes. Our involvement with Erie Conference's Community Agenda, and the Erie Excellence Council of the Chamber of Commerce will help ensure that the community, and labor and management in particular heed the warning presented by Dr. Myron Tribus at a recent Chamber luncheon—"Cooperate or evaporate."

Erie industry has no intention of evaporating. Everywhere we go we find a new openness to cooperative ventures. Attendance at our workshops and Council events is growing. Council membership, open to all who truly believe in cooperation as the wave of the future, is expanding.

Our goals for 1988 are simple, our strategies clear. We will work toward making labor more aware of the competitive problems facing Erie industry. We will encourage management to communicate more openly with labor about business conditions, problems, and plans. We will help train both sides of the bargaining table to work together to solve the problems which confront our industries and our community.

We will encourage realistic expectations for the future, dealing specifically and extensively on the one hand with productivity and quality, so Erie industry can compete more effectively worldwide, and with the quality of working life on the other hand.

We all have a stake in the future of our community's manufacturing base. Cooperation between labor and management is essential to the partnership which, in turn, will help make Erie a better place for us all to work and live.

*Reprinted with permission from The (Erie, Pennsylvania) Times-News, January 31, 1988.

Labor–Management Cooperation Remains Strong in Erie County

by Corinne S. Halperin, Executive Director
Northwestern Pennsylvania
Area Labor–Management Council

During 1988, the Northwestern Pennsylvania Area Labor–Management Council took an objective look at the labor–management climate in Erie County. As in every year, the area "won a few and lost a few," but as a whole, what we saw was encouraging.

As part of the Erie Conference's Business, Economy, and Jobs Task Force, we studied both the reality and perception of Erie's business climate. The good news is that, for the most part, innovative, cooperative, productive, and quality labor relationships exist in our community. The bad news is the perception is less positive.

We are blessed with a highly skilled and talented labor force. A minority of these workers (about 30 percent) are unionized. They have a strong, vocal union leadership which plays an active and vital role in our community—sometimes adding spice to our business climate "stew."

Yet, by all objective measures, when compared to national and statewide statistics, Erie has a good record in contract settlements and in cooperative efforts to keep the workers working, even after a contract runs out.

During the period from January 1, 1988, through October 31, 1988, the Federal Mediation and Conciliation Service reports that strikes over contracts occurred in seven area businesses in Crawford, Erie, and Potter counties, while 195 contracts were settled peaceably to the mutual satisfaction of both labor and management. Only one of those strikes took place in Erie County, with national statistics averaging 4 percent per year over the past 4 years, the three-county total of 3.4 percent is good. Erie's 0.004 percent for the same period is excellent!

While not reported as part of statistical measures, many local unionized facilities—such as National Forge, Parker Die Castings and the City and County of Erie—extended contracts rather than go out on strike until a settlement was reached. School districts in Erie County have developed a cooperative posture and settled contracts early in an arena which often erupts in strikes around Pennsylvania.

The average worker, his union leadership, and management are learning, through bitter past experiences, that the ramifications and long-lasting hostilities which occur with a strike, can destroy the hard-won relationships of trust and progress which take years to establish.

In union and nonunion companies alike, a growing number of employee-involvement programs are increasing productivity and quality in workplaces around Erie County. These day-to-day activities help area businesses produce high quality products (and profits) which are so necessary to a stable economy. The trust and mutual respect evident in these companies make the future for Erie County a bright one.

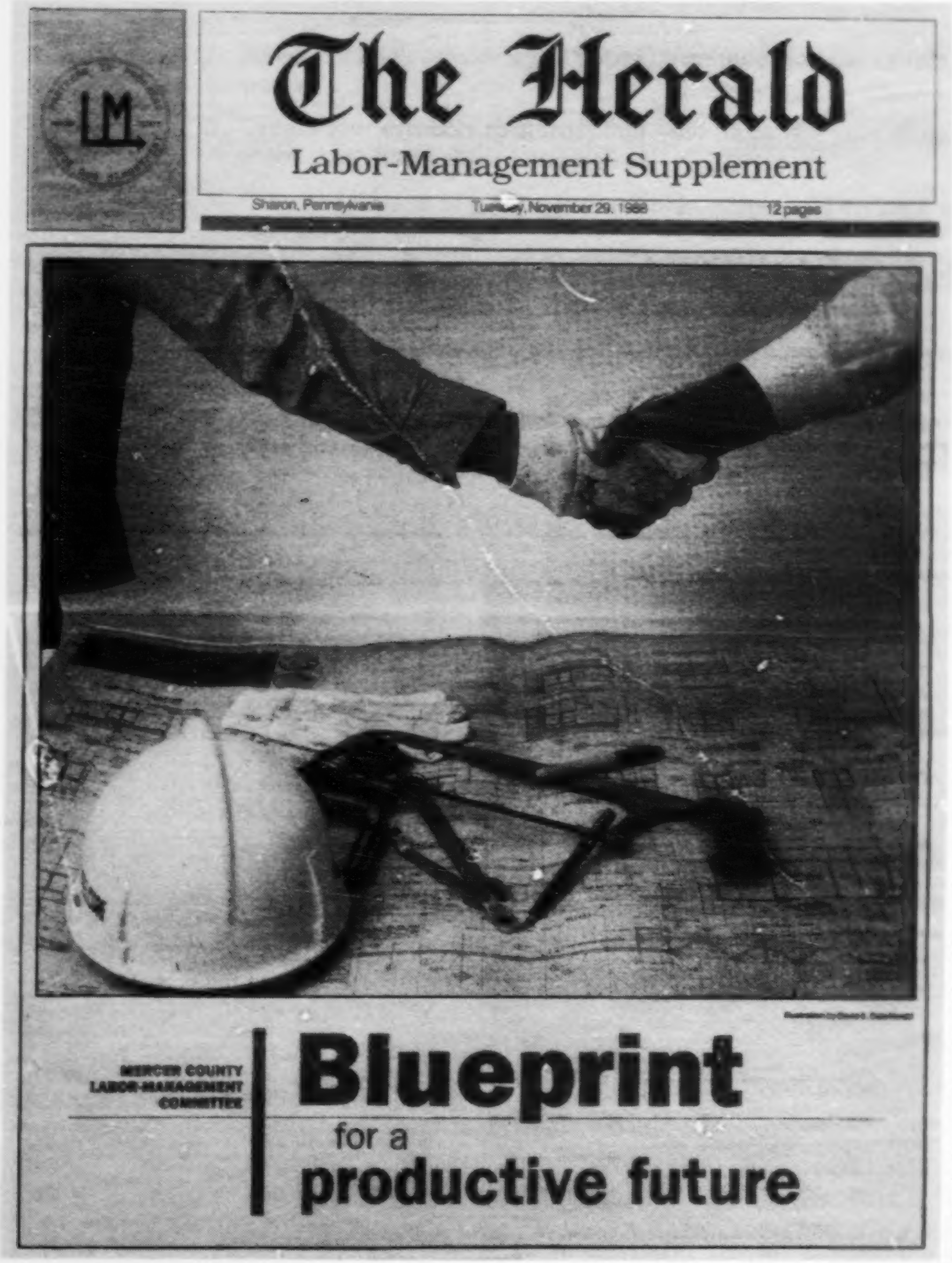
The Northwestern Pennsylvania Area Labor–Management Council has been working to provide assistance and support for employee involvement committees in our community. Our goal for 1989 is to spread the word on the positive labor–management relationships with which we are familiar and make sure that the community appreciates and understands the contribution that labor and management both make to the quality of life in our corner of Pennsylvania.

*Reprinted with permission from The Erie (Pennsylvania) Daily Times, Progress Edition, January 29, 1989.

HANDOUT 2

Effective Use of the Media

SAMPLE MEDIA INITIATIVE*



The Herald

Labor-Management Supplement

Sharon, Pennsylvania Tuesday, November 29, 1988 12 pages

MERCER COUNTY
LABOR-MANAGEMENT
COMMITTEE

Blueprint
for a
productive future

*Reprinted with permission from The (Sharon, Pennsylvania) Herald, November 29, 1988.

HANDOUT 1

Clarifying Values: Banners

INSTRUCTION SHEET*

1. Review the impressions you wrote down following the reflection period.
2. Create four symbols (pictures) that best represent your deepest and most cherished values and goals.
3. Draw the outline of a banner or heraldic shield and divide it into four quadrants.
4. Within each quadrant, draw one of your four symbols and indicate its order of importance in your life (1, 2, 3, 4).
5. Because colors are also symbolic, try to use colors that have meaning for you.
6. If you wish, you may include on your banner words that describe your goals, aspirations, and values.

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* Adapted from "Banners: A Value-Clarification Activity," by Morris A. Graham, in *The 1979 Annual Handbook for Group Facilitators*, ed. John E. Jones and J. William Pfeiffer (San Diego), p. 12, with the permission of University Associates, Inc.

HANDOUT 1

Clarifying Values: The Promotion

CASE HISTORY SHEET[*]

Carol was a bright, ambitious woman who held an M.B.A. and until recently had set her sights on a managerial career with Benton Electronics, Inc. She was eager to climb the ladder of success and was willing to work very hard for her promotions. Carol realized that she worked in a highly competitive organization and that she was in a field traditionally dominated by men. Furthermore, she had observed that many men and women never progressed beyond certain rungs of the corporate ladder and that only one woman in the company had entered into top management. Carol knew from the outset that many tests of her ability and loyalty were to come, but she was eager to meet them.

One obstacle to Carol's career at Benton was her exclusion from some informal networks within the organization. Another problem was that although many men seemed to have special sponsors or mentors who "taught them the ropes" and provided them with inside information, she had no such affiliation. However, because she was determined, she attended every seminar she could and lunched regularly with her peers, most of whom were men. Over time she came to trust a coworker named *Pat*; the two shared confidences frequently and provided valuable feedback to each other regarding work-related matters. Carol valued Pat as a trusted colleague and a friend.

Bob, Carol's supervisor, also had his sights set on top management. He was in the upper echelon of middle management and had made many friends and a few enemies in the company. At the time of the incidents in question, he was in his mid-forties and had been reexamining his goals and values because of a personal crisis: His wife was suing him for divorce, claiming he had neglected her and their children in his "workaholic pursuit of career." Lonely, confused, and in need of comfort, Bob began seeking a confidant, someone who would be supportive and patient and provide a listening ear. Eventually he gravitated toward Carol to fill this role. Only a year before, though, he had felt ambivalent about hiring Carol, assuming that sooner or later she would marry, become pregnant, and resign.

While Bob was in his state of depression, he alternately threw himself relentlessly into his work (at which time Carol's loyalty was evident in her overtime efforts) or dawdled away his time preoccupied with personal problems and the search for "some values of substance" (at which time Carol and Pat tended to cover for him). On one occasion when Bob returned from lunch less than sober, Carol volunteered to attend a meeting in his place.

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[*] Reproduced from "The Promotion: Value Clarification," by Janet Mills Bentz, in *A Handbook of Structured Experiences for Human Relations Training, v. 9*, ed. J. William Pfeiffer (San Diego), pp. 156–158, with the permission of University Associates, Inc. A previous version was published in *Developments in Business Simulation and Experiential Exercises, v. 8* (the proceedings of the 8th Annual Conference of the Association for Business Simulation and Experiential Learning, or ABSEL), ed. William D. Biggs and David J. Fritzsche, pp.1–3; copyright © 1980, ABSEL.

John, one of the company's several vice presidents, took an immediate interest in Carol when he met her at the meeting she attended in place of Bob. He saw her as both a capable middle manager and a lovely woman. Their acquaintance grew, and Carol gained a great deal of informal knowledge about the company from John's casual conversations. She learned, among other things, that Bob had "locked horns" with John on an issue some years ago and that subsequently the two had been, for all practical purposes, unfriendly. She also learned that Bob's unsteady performance was under close scrutiny and that his transfer to a parallel position in a regional office was imminent. John's advances toward Carol continued and became romantic. Although she was not involved with another man and she would have preferred to keep her relationship with John a business one, she yielded to her own sexual needs and John's steady pursuit. They became lovers.

Eventually Carol confided in Pat, describing both the romance and the wealth of informal knowledge she was gaining. She was not prepared for Pat's abrupt response: "I don't know what to say. Frankly, I wish it were me." Carol was taken aback and began feeling very uneasy around Pat. Consequently, a distance grew between them.

Within a week of Carol's conversation with Pat, Bob called Carol into his office and confronted her with the rumor he had heard that she was sleeping with a least one of the company's vice presidents. He asked her to verify the rumor or deny it. Under pressure, Carol took the stance that her private life was her own. Bob said that he interpreted her comment to be an admission of guilt and fired her with one month's notice. Her appeal to his sense of fairness was of no avail; he replied that her involvement was a serious breach of loyalty that damaged her credibility irreparably.

Stunned, Carol sought the support of John, who said he was helpless to do anything on her behalf under the circumstances. Nonetheless, he promised continuing emotional support and said he hoped that the situation would not interfere with their relationship. Her former friend and confidant, Pat, suggested that she leave the company quietly and not create a public stir through Affirmative Action. Her lawyer, although willing to take the case, advised her similarly, "The best time to find a job is while you have one."

Carol's alternatives seemed bleak indeed when *Joe*, director of another division in the company, heard about the incident and called her to his office. Joe began by briefing Carol on his understanding of recent events, indicting that he was aware of her good work and that he felt her dismissal was unreasonable. He reported that Bob's transfer was now fact, that Pat had been appointed as his replacement, and that Carol had been among those considered for the position before her dismissal. Joe shook his head sadly and said that he had been an advocate of "free sex" for years. He than told Carol that he was willing to create a position for her in his office in light of her record and that this position would be equivalent in rank to the one she had just lost. He also suggested that a couple of years of experience in his division would greatly enhance her career.

Carol left Joe's office with mixed feelings; she felt a rapport with Joe and sensed that they would get along, but she was not sure that she trusted his warmth and generosity. She wondered whether there was an innuendo in his offer, whether she was being placated by the organization in some way, whether she could discern the real situation, and whether any of these thing even mattered.

RANK ORDERING

Rank order the following characters from 1 (least objectionable) to 5 (most objectionable):

___ Carol

___ Pat

___ Bob

___ John

___ Joe

HANDOUT 1

Using the Myers–Briggs Type Indicator To Promote Teamwork

DIALOGUES ON THE FOUR SETS OF PREFERENCES*

1. EXTRAVERSION/INTROVERSION

Extravert: I get a lot of energy from being with others.

Introvert: I am drained when I spend a lot of time with others, particularly when I'm with strangers.

Extravert: I get bored and restless if I spend a lot of time alone.

Introvert: I need time alone to recharge my batteries—to restore my energy.

Extravert: I figure things out best when I can talk things over with others.

Introvert: I need time alone to figure things out, to get in touch with my inner world.

Extravert: I turn to others when I need affirmation, confirmation, or verification.

Introvert: I turn inward when I need affirmation, confirmation, or verification.

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* Reproduced from *It Takes All Types!* by Alan W. Brownsword (San Anselmo, Calif., 1987), pp. 6–8, 11–12, 17–19, and 22–24, with the permission of HRM Publications.

1. EXTRAVERSION/INTROVERSION (continued)

Extravert: I am good at meeting people.

Introvert: I have to exert an effort to meet people, and I may avoid or postpone doing so.

Extravert: I have good verbal skills and am good at making conversation.

Introvert: I often find the give-and-take of free-flowing conversation somewhat difficult to keep up with, and I have trouble thinking of the right thing to say on the spur of the moment.

Extravert: I speak up at meetings easily and often.

Introvert: I often hold back at meetings, then have trouble getting into the discussion.

Extravert: I am likely to speak first, think later—and suffer from "foot-in-mouth" problems!

Introvert: I am likely to think afterwards of the thing to say—I suffer from the "why didn't I think to say . . ." syndrome!

Extravert: I dislike or avoid writing.

Introvert: I have good writing skills and often actually prefer presenting my ideas in writing.

1. EXTRAVERSION/INTROVERSION (continued)

Extravert: I tend to be very aware of who or what is around me.

Introvert: I am often not very observant of what's going on in the world around me.

Extravert: I don't usually pay much attention to what's going on inside me.

Introvert: I am introspective—I'm generally very aware of my inner reactions.

Extravert: I am generally easy to get to know. I show the world what I really am—I don't surprise people with "hidden sides" of my personality.

Introvert: I am generally difficult to get to know. I don't very often show the world what I really am—I have important "hidden sides" of my personality and can surprise people who think they know me well!

2. SENSING/INTUITION

Sensing: I'm good at seeing "what is." What could be more important than that?

Intuition: I like looking at "what could be"—what's the use of "what is" without "what could be!"

Sensing: I'm quick to grasp the details of a situation.

Intuition: I'm quick to see the big picture.

Sensing: I must admit that sometimes I have trouble seeing the big picture.

Intuition: I'll own up to the fact that I am often tripped up by details that I haven't noticed.

Sensing: I'm realistic and practical. I've got my feet on the ground.

Intuition: I'm imaginative. I like the view from the clouds.

Sensing: No way. I prefer reality to fantasy any day.

Intuition: I'm just the other way around—I prefer fantasy to reality.

Sensing: I tend to be specific and literal when I speak, write or listen.

Intuition: I tend to be general and abstract when I speak, write or listen.

Sensing: I like to describe the facts first, and then I may—or may not!—state the general point.

Intuition: I make the general point, and then I may—or may not!—bother to describe the facts.

2. SENSING/INTUITION (continued)

Sensing: I am good at seeing solutions to practical, concrete problems.

Intuition: That's not my thing. I admit I'm likely to be impatient with or ignore those kinds of problems.

Sensing: On the other hand, I'll confess, I sometimes have trouble coming up with solutions to complicated, theoretical or abstract problems —I have no patience with them, if the truth be told.

Intuition: Not me. I love to deal with those kinds of problems—the more imaginative, the better.

Sensing: I don't even like complicated theory—it makes my head swim.

Intuition: That's my world. I'm at home with theory and abstraction.

Sensing: I like to identify and work with the specifics necessary to successfully carry out an assignment.

Intuition: I wish I could do that. Most of the time I don't even want to think about those things.

Sensing: When I try to do what you are good at, I often draw blanks, feel awkward or focus on "doom and gloom" stuff.

Intuition: Well, when I try to do what you are good at, I get frustrated and impatient, miss a lot of obvious things you see, or I run off endlessly about specifics, not knowing what's important and what isn't.

3. THINKING/FEELING

Thinking: Whenever I make a decision, I look for principles to guide me. The kind of principles I seek are basic truths, laws, or assumptions that are generally accepted or proven. When I make a decision, I want to know what's "right" in a situation like this.

Feeling: I look at a decision quite differently. I look at the specific situation or decision and then sort out the values that are involved—my own personal values and the values of the people or institutions that matter to me. Then I apply those values and see where they lead me.

Thinking: When I make a decision, I use my principles—and being logical is one of my most important principles—to link things together. That's why my decisions have an "if. . ., then" quality to them.

Feeling: My decisions link things together according to their value—either to me or to others or to the institutions of which I am a part. That's why my decisions have an "I value . . ., it matters" quality to them.

Thinking: When I make a decision, I focus on the content, on the "what" that is involved. I do my best to depersonalize everything.

Feeling: I think it's important to take personal considerations into account when making decisions.

Thinking: I try to screen out of my decisions my own emotions and the emotions of others. Decisions based on emotions seem wrong to me.

Feeling: I find it difficult to focus exclusively on the content of a decision, as you call it. People's emotions are part of the content of a good decision.

Thinking: Not to me. I am uncomfortable with decisions that involve my own emotions and those of others—I will even avoid discussing these kinds of things.

Feeling: And I'm uncomfortable with decisions that require ignoring my own emotions and those of others. I am good at bringing these issues into a decision-making process in useful ways.

3. THINKING/FEELING (continued)

Thinking: I am analytically oriented in my decisions. I like analyzing things impersonally. I listen carefully to people's thoughts and am quick to see either the usefulness of an idea or its weakness, and I like being able to share my judgments on what other people say. I am told that I often do not pay sufficient attention to people when I make decisions, but if logic tells me this or that is the way to go, shouldn't people just see and accept that?

Feeling: Not always. People are important, too. I believe in being people-oriented when I make decisions. I like listening to what other people care about. I reflect on how their values fit with my own. And I like it when my decisions can support and bring out the best in people. Sometimes I'm told that it's necessary to leave people considerations out of my decision making, but that's difficult for me to do.

Thinking: I am often told that my decisions and the way I express them hurt people—often I am not even aware of that until someone points it out to me.

Feeling: It's natural to me to have my decisions and the way I express them reflect a sensitivity to people.

Thinking: When decisions call for it, I can reprimand or fire people.

Feeling: That is not one of my strengths. I even have difficulty telling people anything unpleasant.

3. THINKING/FEELING (continued)

Thinking: In decisions that affect me, I need to know that I have been treated fairly. I can accept a lot so long as I know that.

Feeling: In decisions that affect me, I need to know that I am appreciated. I need and want praise. When I know that I am appreciated, I do my best work. As a student, I do my best for teachers who like me.

Thinking: I am not always aware that my decisions can create conflict. Sometimes when I am aware, I don't care very much. I can get along without a lot of harmony.

Feeling: I am always concerned when decisions involve conflict. I like harmony, and I know how to surface and resolve conflict. I am often negatively affected in conflict situations.

Thinking: I am good at exploring the logical, impersonal consequences of actions or decisions.

Feeling: I am good at assessing the human impact of actions or decisions.

Thinking: When I try to do what you are good at, I have an uneasy feeling that I am making a biased decision, and that seems all wrong to me—it won't stand up in court! So when I sense those kinds of decisions popping up in my head, I generally try to ignore them.

Feeling: And when I try to do what you are good at, I feel as if somehow I am leaving out the things that really matter. Sometimes those decisions remind me of the auto safety commercials: "He had the right of way. He was right. Dead right." So I tend to ignore those kinds of decisions even when I'm aware that I have them.

4. JUDGING/PERCEIVING

Judging: I like to get things settled and finished.

Perceiving: I like staying flexible so I can change things when new information comes up.

Judging: I have been told I decide things too quickly.

Perceiving: I've been told that I have trouble making decisions.

Judging: Sometimes I think I cling too long to a list or a plan.

Perceiving: And I am not likely to make or follow lists, even when the situation calls for it.

Judging: I often dislike having to put down something I'd planned to do to work on something more urgent that has just come up.

Perceiving: I have a tendency to start too many projects and I sometimes have difficulty finishing them because I am so fascinated by something that has just come up.

Judging: I can be so intent on what I've planned to do that I don't want to pay attention to new information.

Perceiving: I sometimes use the excuse of needing to work on new things to postpone unpleasant tasks.

4. JUDGING/PERCEIVING (continued)

Judging: I want to get right to the point.

Perceiving: I want all the available data.

Judging: I like it when I have reached a judgment on a thing, situation or person. I want to move on and not have to keep continually reconsidering things.

Perceiving: I'm always curious to get more information about things, situations or persons. I want to be flexible. I don't want to have to close things off by making a decision.

Judging: I am time and deadline oriented.

Perceiving: I almost always think there is plenty of time.

Judging: I feel time pressure early.

Perceiving: I feel time pressure late.

4. JUDGING/PERCEIVING (continued)

Judging:	I work best when I can plan my work and follow my plan. I know when things need to be organized and settled. I know how to make lists, and I like making them and crossing things off.
Perceiving:	I'm not into that. I want to be able to adapt to what comes up. I get my energy from new situations, and I am good at responding to them.
Judging:	That doesn't fit me. I feel dislocated when things come up unexpectedly. I don't like it when I am confronted with a problem or opportunity that means I may have to choose between following my plan or doing something else. Sometimes, I'll admit, I wish I felt free to do just whatever comes up. More often than not, though, I find myself wishing the unexpected would go away!
Perceiving:	And I'm just the opposite. I feel hemmed in if I have to make or follow a schedule. When I do make a list, which isn't very often, it can sit around forever because I put such vague or ambitious things on it—and I almost never follow it because I am so busy doing other things. And you know what? When I do make lists, I very often promptly lose them! Now, it is true that when I get really overcommitted or when I have too many options I sometimes wish I could exercise more control, get more discipline in my life, and make your lists and stick to them! But I'll bet I'd soon get bored and wish something exciting would come up that I could respond to!
Judging:	Can't we settle things?
Perceiving:	Can't we keep our options open a little longer?

HANDOUT 2

Using the Myers–Briggs Type Indicator To Promote Teamwork

THE TEMPERAMENTS*

SJ: The Traditionalist/Stabilizer

When SJs enter a new job or situation, they want to know:

What are the rules and regulations?

What are the policies and procedures?

Who is in charge of what?

What are we responsible for?

When are things due?

By what criteria will they be judged?

When they find answers to these questions, they settle in. They accept and work within the constraints. They do their best to keep things stable and to maintain order. They expect others to do the same. They often judge harshly those who don't. They are detail oriented and excellent at following through. They contribute to stability in the organization, and they can be counted on to maintain its tradition. Constant change, lack of clear and explicit direction, and failure to follow established policies and procedures is disorienting and frustrating.

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* Reproduced from *Psychological Type: An Introduction*, by Alan W. Brownsword (San Anselmo, Calif., 1988), pp. 43–45, with the permission of HRM Publications.

SP: The Troubleshooter/Negotiator

When SPs enter a new job or situation, they want to know:

Where's the action?

What's going on?

Where are the trouble spots that need to be cleaned up?

What needs to be fixed?

How can I get into the thick of things?

SPs need answers to these questions that suggest excitement, a fast pace, and things that need to be done now. SPs are most valuable when there are crises that need to be attended to. In fact, they look for and are attracted to crises. They are most effective at plunging in and fixing things. As problem solvers—as fixers—their natural style is active experimentation. Try something. If it works do it. If it doesn't, do something else. As managers, they may consider their staffs as flexible resources to be deployed at a moment's notice to deal with the crises of the moment. They are not interested in routine, and they can become bored or impatient with things that are conceptual, theoretical or that involve long-range planning.

NT: The Visionary

When NTs enter a new job or situation, they want to know:

Where are the opportunities for change and growth?

What are the new directions, the new developments over the horizon?

What do we need to do to plan for tomorrow?

What are the challenges to excite the imagination?

NTs need positive answers to these questions, for they are the architects of change. They are creators and builders—of businesses, buildings, systems, products, or theories. Their energy is most likely to be turned on if they find that the job involves being creative, developing and implementing new things to do. Maintaining the status quo is not for them. That's demotivating. They want to think big, to conceptualize complex projects. The status quo holds little interest for them, and constant crises that cannot be dealt with by rational planning are frustrating.

NF: The Catalyst

When NFs enter a new job or situation, they want to know:

What does this organization stand for?

What are its key values?

Are people issues being attended to?

What is the state of morale around here?

Is this place making the most of its human potential?

What needs to be done to release and harness human energy?

These are important questions for NFs, for their natural focus, their strongest talents, lie in the human equation. They know how to bring the best out in people. They push the organization to articulate what it stands for—with an emphasis on core values. They can see the people issues that are often hidden behind discussions of content. They think naturally about the impact of decisions on people. They know how to persuade, how to conciliate, how to resolve conflict, how to establish and maintain harmony. They can place so much emphasis on personal issues that task or mission accomplishment sometimes takes an inappropriate second place.

HANDOUT 3

Using the Myers–Briggs Type Indicator To Promote Teamwork

TEMPERAMENTS IN THE WORLD OF WORK*

The table on the following pages displays 10 characteristics of the four temperaments.

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* Reproduced from *Psychological Type: An Introduction*, by Alan W. Brownsword (San Anselmo, Calif., 1988), pp. 44–45, with the permission of HRM Publications.

TEMPERAMENTS IN THE WORLD OF WORK

This type	**Visionary (NT)**	**Catalyst (NF)**
looks at the world and sees	Possibilities, meanings, and relationships . . .	Possibilities, meanings, and relationships . . .
and wants to	Examine the consequences analytically and impersonally.	Judge their value to people and for people.
They have a lifelong drive for	Competence and knowledge . . .	Meaning, authenticity, and identity . . .
and thus they are effective	As architects of change, as organizational entrepreneurs.	In getting people to work effectively together to achieve organizational goals.
Their strengths include:	Looking ahead, seeking new possibilities; Conceptualizing, designing—especially regarding organizational change; Setting standards, particularly intellectually; Seeing right to the heart of complex issues or problems; Seeing the large picture, the larger content; Grasping underlying principles, dynamics, laws; and Meeting the challenge when someone says, "It can't be done."	Drawing out the best in people; Working with and through people—participative leadership; Good verbal and listening skills; Being sensitive to the organizational climate; Expressing empathy; Being creative; Getting people to work effectively and harmoniously together; and Learning new things, particularly about self and others.

This type	**Troubleshooter/Negotiator (SP)**	**Traditionalist/Stabilizer (SJ)**
looks at the world and sees	Facts and realities . . .	Facts and realities . . .
and wants to	Collect more, manipulate them.	Organize them.
They have a lifelong drive for	Action, excitement, competition . . .	Contributing to meaningful social institutions . . .
and thus they are effective	In crisis situations, in putting out "fires," in producing results.	As stabilizers of organizations and in maintaining tradition.
Their strengths include:	Handling crisis situations; Seeing what's negotiable; Being ingenious and resourceful in getting things done; Knowing how to expedite things; Being honest, straightforward, "telling it like it is"; Having a practical approach to concrete problems; Being adaptable, flexible; and Taking risks.	Being realistic and practical; Being decisive; Paying attention to rules, policies, and regulations; Bringing a planned, organized approach to work; Being dependable, steady workers, good at following through; and Being thorough, systematic, and precise, especially with details.

TEMPERAMENTS IN THE WORLD OF WORK (continued)

Type	**Visionary (NT)**	**Catalyst (NP)**
Their potential weaknesses include:	Not easily showing sensitivity and appreciation to others; Not following through on details, getting bored with routine; Losing people with their fascination with complexity; Being elitist; Being impatient with those whom they don't see as competent.	Being too generous, too giving of time and self to others; Deciding on the basis of personal likes and dislikes; Giving too much autonomy and freedom; Being too easily hurt—personalizing criticism; Placing too much focus on people, not enough on organizational goals; Having trouble being tough, especially when it might mean hurting people.
Their contributions to a work team include:	Tracking thought processes; Solving problems; Providing theoretical input; and Spreading enthusiasm for ideas.	Adding the personal dimension; Selling the organization or cause they believe in; and Bringing out the contributions of others.
They like to be appreciated for	The quality of their ideas and their intellectual competence.	Themselves as people who make important contributions.
They provide	Idea charisma.	People charisma.
Their motto might be:	*Some see things as they are and say, "Why?"* *I dream things that never were and say, "Why not?"* —Robert F. Kennedy	*This above all: To thine own self be true. And it must follow, as night the day: Thou canst not then be false to anyone.* —William Shakespeare, *Hamlet*

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Type	**Troubleshooter/Negotiator (SP)**	**Traditionalist/Stabilizer (SJ)**
Their potential weaknesses include:	Disliking or being impatient with the theoretical, the abstract, the conceptual; Being unpredictable; Becoming bored when there are no crises to handle; Creating crises to handle; Failing to produce written documents; Not taking a stand, seeming indecisive; and Being impulsive—not looking before leaping.	Not always being responsive to the need for change; Adhering too firmly to rules and being reluctant to make exceptions; Deciding things too quickly; Being impatient with delays and complications; and Having an excessive concern for crises that might never occur.
Their contributions in a work team include:	Making thing happen; Spotting practical problems; and Negotiating agreements or plans of action.	Focusing on what needs to be done; Focusing on follow through; and Focusing on important details.
They like to be appreciated for	The clever way they make things happen or get things done.	Their careful, thorough, accurate work.
They provide	Crisis charisma.	Relief from charisma!
Their motto might be:	*Damn the torpedoes.* *Full speed ahead.* —David Farragut Battle of Mobile Bay, 1863	*Neither rain nor snow nor sleet nor dark of night shall stay the courier from the swift completion of her appointed rounds.* —Post Office motto

HANDOUT 1

Understanding Feedback: The Johari Window

THE JOHARI WINDOW: A GRAPHIC MODEL OF AWARENESS IN INTERPERSONAL RELATIONS*

by Joseph Luft

Like the happy centipede, many people get along fine working with others, without thinking about which foot to put forward. But when there are difficulties, when the usual methods do not work, when we want to learn more—there is no alternative but to examine our own behavior in relation to others. The trouble is that, among other things, it is so hard to find ways of thinking about such matters, particularly for people who have no extensive backgrounds in the social sciences.

When Harry Ingham and I first presented The Johari Window to illustrate relationships in terms of awareness (at Western Training Laboratories, in 1955), we were surprised to find so many people, academicians and nonprofessionals alike, using and tinkering with the model. It seems to lend itself as a heuristic device to speculating about human relations. It is simple to visualize the four quadrants which represent The Johari Window.

Quadrant I, the area of free activity, refers to behavior and motivation known to self and known to others.

Quadrant II, the blind area, where others can see things in ourselves of which we are unaware.

Quadrant III, the avoided or hidden area, represents things we know but do not reveal to others (e.g., a hidden agenda or matters about which we have sensitive feelings).

Quadrant IV, area of unknown activity. Neither the individual nor others are aware of certain behaviors or motives. Yet we can assume their existence because eventually some of these things become known, and it is then realized that these unknown behaviors and motives were influencing relationships all along.

FIGURE 1
The Johari Window

	Known to Self	Not Known to Self
Known to Others	Area of Free Activity	Blind Area
Not Known to Others	Avoided or Hidden Area	Area of Unknown Activity

*This article is reprinted from NTL's *Human Relations Training News,* 1961, 5(1), 6-7. A more complete exposition of Johari Window concepts may be found in Joseph Luft's *Of Human Interaction.* Palo Alto, Calif.: National Press Books, 1969 and his *Group Processes: An Introduction to Group Dynamics* (2nd ed.), Palo Alto, Calif.: National Press Books, 1970. [The Johari Window is named from its creators, Joe Luft and Harry Ingham. —Ed.]

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The Quadrants and Changing Group Interaction

In a new group, Quadrant I is very small; there is not much free and spontaneous interaction. As the group grows and matures, Quadrant I expands in size; and this usually means we are freer to be more like ourselves and to perceive others as they really are. Quadrant III shrinks in area as Quadrant I grows larger. We find it less necessary to hide or deny things we know or feel. In an atmosphere of growing mutual trust there is less need for hiding pertinent thoughts or feelings. It takes longer for Quadrant II to reduce in size, because usually there are "good" reasons of a psychological nature to blind ourselves to the things we feel or do. Quadrant IV perhaps changes somewhat during a learning laboratory, but we can assume that such changes occur even more slowly than do shifts in Quadrant II. At any rate, Quadrant IV is undoubtedly far larger and more influential in an individual's relationships than the hypothetical sketch illustrates.

The Johari Window may be applied to *inter-group* relations. Quadrant I means behavior and motivation known to the group and also known to other groups. Quadrant II signifies an area of behavior to which a group is blind; but other groups are aware of this behavior, e.g., cultism or prejudice. Quadrant III, the hidden area, refers to things a group knows about itself but which are kept from other groups. Quadrant IV, the unknown area, means a group is unaware of some aspect of its own behavior, and other groups are also unaware of this behavior. Later, as the group learns new things about itself, there is a shift from Quadrant IV to one of the other quadrants.

Principles of Change

1. A change in any one quadrant will affect all other quadrants.
2. It takes energy to hide, deny, or be blind to behavior which is involved in interaction.
3. Threat tends to decrease awareness; mutual trust tends to increase awareness.
4. Forced awareness (exposure) is undesirable and usually ineffective.
5. Interpersonal learning means a change has taken place so that Quadrant I is larger and one or more of the other quadrants has grown smaller.
6. Working with others is facilitated by a large enough area of free activity. It means more of the resources and skills in the membership can be applied to the task at hand.
7. The smaller the first quadrant, the poorer the communication.
8. There is universal curiosity about unknown areas, but this is held in check by custom, social training, and by diverse fears.
9. Sensitivity means appreciating the covert aspects of behavior in Quadrants II, III, and IV and respecting the desire of others to keep them so.
10. Learning about group processes as they are being experienced helps to increase awareness (larger Quadrant I) for the group as a whole, as well for individual members.
11. The value system of a group and its membership may be noted in the way *unknowns* in the life of the group are confronted.

A centipede may be perfectly happy without awareness, but after all, he restricts himself to crawling under rocks. ☐

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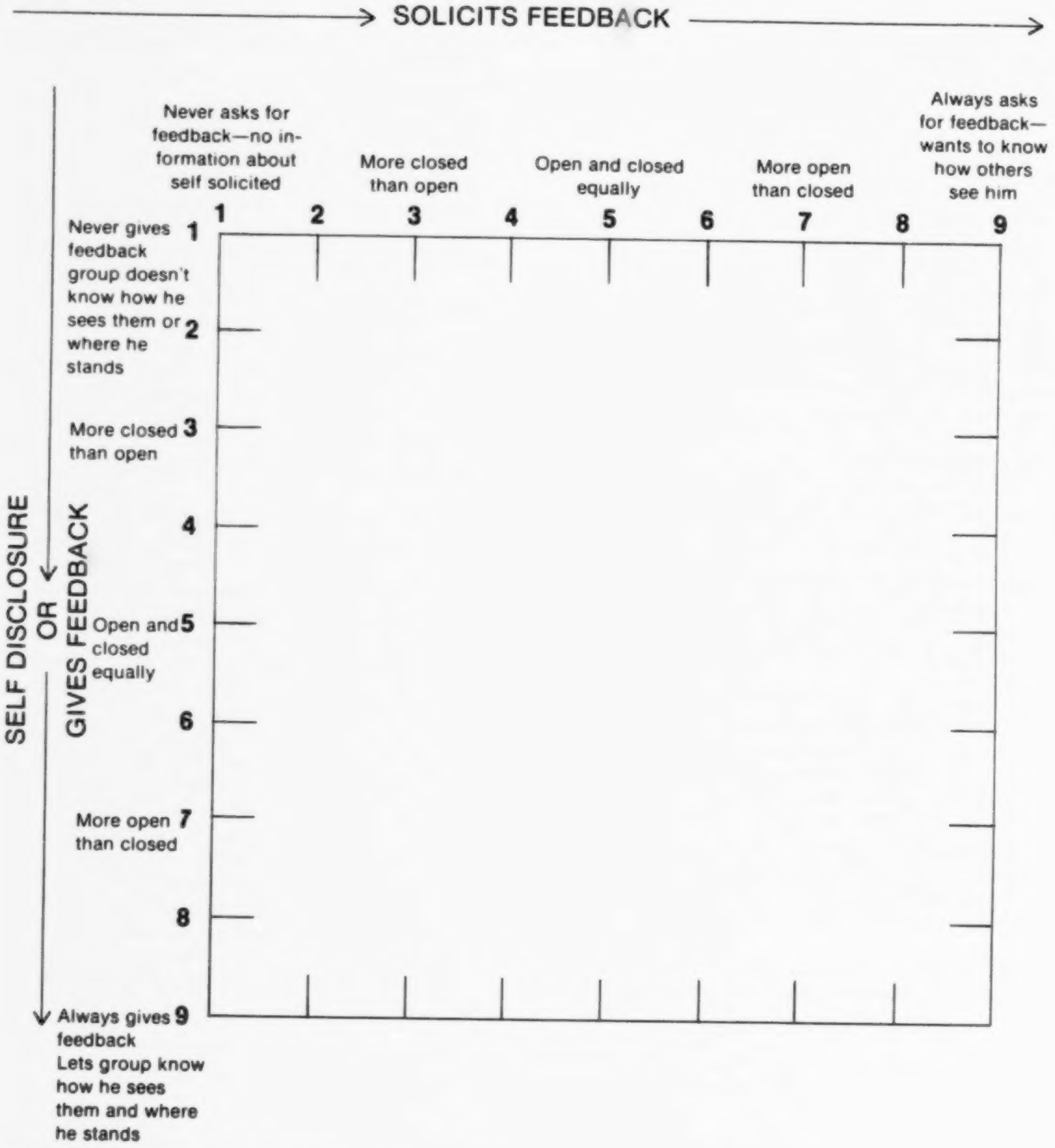
HANDOUT 2

Understanding Feedback: The Johari Window

SELF-RATING SHEET*


SOLICITS FEEDBACK
Never asks for feedback—no information about self solicited
More closed than open
Open and closed equally
More open than closed
Always asks for feedback—wants to know how others see him
1
2
3
4
5
6
7
8
9
SELF DISCLOSURE OR GIVES FEEDBACK
Never gives feedback group doesn't know how he sees them or where he stands
More closed than open
Open and closed equally
More open than closed
Always gives feedback Lets group know how he sees them and where he stands

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* Reproduced from "Analyzing and Increasing Open Behavior: The Johari Window," by Phillip Hanson, in *The 1973 Annual Handbook for Group Facilitators*, ed. John E. Jones and J. William Pfeiffer (San Diego), p. 41, with the permission of University Associates, Inc.

HANDOUT 1

Developing Guidelines for Giving and Receiving Feedback

GIVING AND RECEIVING FEEDBACK: IT WILL NEVER BE EASY BUT IT *CAN* BE BETTER*

by Larry Porter

We live in a world filled with feedback devices. Some are "coupled"—that is, the system ***automatically*** responds to feedback signals by making changes: A thermostat is one familiar example of this. However, many feedback devices merely provide us with information. It is then up to *us* to interpret that information and to decide how we want to use it.

"Uncoupled" feedback sources include such things as bathroom scales, fuel gauges, mirrors, tape recorders. Still others include ways in which people behave toward us—what they say and don't say, do and don't do, how they look, sound, etc.

These "uncoupled" indicators may be either unused or misused by us—particularly when our interpretations of the data are colored by our hopes, fears, needs, and desires.

When I'm driving, for example, I have a number of devices feeding back to me information about my car: its speed, engine temperature, oil pressure, fuel level. But I must interpret what that information "means" and make decisions as to what I want to do with it. I may, for example, note that the fuel gauge needle is low, but choose to ignore it for a while; or I may convince myself that it's broken; or I may play a game with it, to see how far I can go before I heed the information and pull into a gas station. I am not likely to cover the gauge up because it threatens or offends me; nor am I likely to wrench the needle from the "E" to the "F" (thereby "magically" filling the tank!).

Similarly with a bathroom scale: If I think I'm not going to like what it tells me, I may not get on it at all. Or, if I'm dieting, I may weigh myself continuously and risk fretting myself out of any chance of staying with the diet. Or I may convince myself that it "weighs heavy." Mirrors? I can avoid them, except when I'm "feeling thin" or "nicely rounded." And I know full well, when I listen to myself on tape, that "that doesn't sound like me."

Similarly with the feedback we get from people with whom we interact: we can play games with it, refuse to believe it, misinterpret it, etc. Most of us have at one time or another tried to cover up the "negative feedback" gauge ("I don't want to talk about it!"), or to wrench the pointer from "Empty" to "Full" ("You're just upset with me; it's nowhere near as bad as you say it is."), or we choose to ignore it.

Many of these behaviors can be grouped under the general heading of "defensiveness": denying, explaining, justifying, fighting, surrendering—everything but *dealing* with the feedback as information that may have great value to us if we can let it in and effectively use it.

For reasons having mostly to do with our upbringing, we want to look "good"[1] to the world (no matter how much we may deny it), and in the interest of doing this we may try to shut out information that runs counter to that so-much-desired image. We fear information that "disconfirms" our "OKness." This fear causes us to behave in ways that cut us off from feedback (either because it causes people to stop giving it to us or because it keeps us from being able to hear it), which is a pity, because game-free feedback can have great value. It's one of the major sources of information by which we can know how we're perceived by others, develop clarity about why our relationships are what they are (for good or bad), and decide what changes, if any, we want to make in our behaviors so as to improve the quality of some relationships.[2]

There's another problem, too. Not only are many of us afraid of feedback, but we lack skills related to sending and receiving it. Relatively few people have an opportunity to learn feedback skills. So we more or less automatically "do it the way it was done to us." And the way it was done to us is often what makes us fear it in the first place!

One way to break out of this cycle is to learn some feedback concepts. For example, what constitutes

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[1] Better yet, "perfect!"

[2] See also B. B. Bunker, "Using Feedback to Clear Up Misunderstandings in Important Relationships."

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effective (i.e., helpful, non-gameplaying) feedback? And then, practice those concepts, either in a setting which validates such experimentation (such as a human relations laboratory) or with people back home with whom we can share the information and whom we can use as ongoing resources as we seek to improve our skills.[3]

Definition

For our purposes here, I'm defining *feedback* as information that flows between people that has to do with their interaction in the here and now.[4]

Telling someone the time or that you'd rather go to a movie than to a baseball game is not feedback in the sense that I'm using the term. It's just *information.* I define *effective feedback* as information that: (1) can be heard by the receiver (as evidenced by the fact that s/he does not get defensive, etc.); (2) that keeps the relationship intact, open, and healthy (though not devoid of conflict or pain); and (3) that validates the feedback process in future interactions (rather than avoiding it because "last time it hurt so much").

Further, feedback does not assume that the giver is totally right and the receiver wrong; instead, it is an invitation to interaction, has some give-and-take to it. Also, it is a behavior that is inappropriate in interactions with people who do not have some significance in our lives (remember "Bob and Carol and Ted and Alice" and the waiter?), but all right in interactions that we know (or want) to have duration and importance.

Criteria for Effective Feedback

Following are 13 criteria for effective feedback. If this list sounds intimidating, keep in mind that some of them are easy to start using (once you're aware). In addition, you probably won't need to concern yourself with all of them and may find yourself focusing on a cluster of four or five which you realize (or are helped to realize) are problems for you. Also, I'm providing the "flip side" of each criterion—things we do which are

TABLE 1
Effective and Ineffective Feedback Behaviors

	Effective Feedback	**Ineffective Feedback**
1	Describes the behavior which led to the feedback: "You are finishing my sentences for me . . ."	Uses evaluative/judgmental statements: "You're being rude." Or generalized ones: "You're trying to control the conversation."
2	Comes as soon as appropriate after the behavior—immediately if possible, later if events make that necessary (something more important going on, you need time to "cool down," the person has other feedback to deal with, etc.).	Is delayed, saved up, and "dumped." Also known as "gunny-sacking" or ambushing. The more time that passes, the "safer" it is to give the feedback. Induces guilt and anger in the receiver, because after time has passed there's usually not much she or he can do about it.
3	Is direct, from sender to receiver.	Indirect; ricochetted ("Tom, how do you feel when Jim cracks his knuckles?)—also known as "let's you and him fight."
4	Is "owned" by the sender, who uses "I messages" and takes responsibility for his or her thoughts, feelings, reactions.	"Ownership" is transferred to "people," "the book," "upper management," "everybody," "we," etc.
5	Includes the sender's real feelings about the behavior, insofar as they are relevant to the feedback: "I get frustrated when I'm trying to make a point and you keep finishing my sentences."	Feelings are concealed, denied, misrepresented, distorted. One way to do this is to "transfer ownership" (see #4). Another way is to smuggle the feelings into the interaction by being sarcastic, sulking, competing to see who's "right," etc. Other indicators: speculations on the receiver's intentions, motivations, or psychological "problems": "You're trying to drive me nuts"; "You're just trying to see how much you can get away with"; "You have a need to get even with the world." *(continued)*

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[3] For more on support groups, see Seashore, "Developing and Using a Personal Support System."

[4] More accurately, it is something *figural* (in the Gestalt sense)—that is, it is something *present* in their *attention* at the moment.

TABLE 1
Effective and Ineffective Feedback Behaviors

	Effective Feedback	**Ineffective Feedback**
6	Is checked for clarity, to ensure that the receiver fully understands what's being conveyed. "Do you understand what I mean when I say you seem to be sending me a double message?"	Not checked. Sender either assumes clarity or—fairly often—is *not interested* in whether receiver understands fully: "Stop interrupting me with 'Yes, buts!'"
7	Asks relevant questions which seek information (has a problem-solving quality), with the receiver knowing why the information is sought and having a clear sense that the sender does not know the answer.	Asks questions which are really statements ("Do you think I'm going to let you get away with that?") or which sound like traps ("How many times have you been late this week?") Experts at the "question game" can easily combine the two ("How do you think that makes me feel?" or "Do you behave that way at home *too*?")[1]
8	Specifies consequences of the behavior—present and/or future: "When you finish my sentences I get frustrated and want to stop talking with you." "If you keep finishing my sentences I won't want to spend much time talking with you in the future."	Provides vague consequences: "That kind of behavior is going to get you into trouble." Or specifies no consequences, substituting instead other kinds of leverage, such as "shoulds" ("You shouldn't do that.").
9	Is solicited or at least to some extent desired by the receiver.[2]	Is imposed on the receiver, often for her or his "own good."
10	Refers to behaviors about which the receiver can *do* something ("I wish you'd stop interrupting me."), if she or he wants to.	Refers to behaviors over which the receiver has little or no control, if she or he is to remain authentic: "I wish you'd laugh at my jokes."
11	Takes into account the needs of both sender and receiver; recognizes that this is a "process," that it is an interaction in which, at any moment, the sender can become the receiver. Sender: "I'm getting frustrated by the fact that often you're not ready to leave when I am." Receiver: "I know that's a problem, but I'm concerned about what seems to be your need to have me always do *what* you want *when* you want."	Is distorted by the sender's needs (usually unconscious or unconsidered) *to be safe* (not rejected): "Now, I don't want you to get angry, but . . ."; *to punish*: "Can't you ever do *anything* right?"; *to win*: "Ah-ha, then you admit that you *do* interrupt me?"; *to be virtuous* (Watch this one!) "I'm going to level with you, be open with you . . .," etc. In short, most ineffective feedback behaviors come either from lack of skills or from the sender not seeing the process as an interaction in which both parties have needs that must be taken into account.
12	Affirms the receiver's existence and worth by acknowledging his or her "right" to have the reactions she or he has, whatever they may be, and by being willing to work through issues in a game-free way.	Denies or discounts the receiver by using statistics, abstractions, averages, by refusing to accept his/her feelings: "Oh, you're just being paranoid." "Come on! You're over-reacting." "You're not really as angry as you say you are."[3]
13	Acknowledges and, where necessary, makes use of the fact that a process is going on, that it needs to be monitored and sometimes explored and improved: "I'm getting the impression that we're not listening to each other. I'd like to talk about that and try to do this more effectively."	Either does not value the concept of "process" or does not want to take time to discuss anything other than content. Consequently does not pay any attention to the process, which can result in confusion, wasted time and energy, and lots of ineffective feedback.

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[1] Most people can make significant improvements in their feedback skills by not asking *any* questions!

[2] Since this condition doesn't exist all that often you may wonder how you can *ever* give feedback. Keep two things in mind: (1) Not all the criteria have to be met all the time; and (2) If you have to *impose* it on the recipient, it's likely to be helpful to the process if you'll keep that in mind and take it into account as you interact.

[3] These may be accurate interpretations, of course, but the sender is not likely to "reach" the receiver by being "right" in these instances. In some significant human interactions there are often more important things than being that kind of "right."

not effective and which often trap us into games and other relational confusions. It may be that if you can just *stop doing some of those* you'll have made significant progress, even though you don't consciously try to do the ones listed as effective.

To repeat, that's a lot to keep track of, especially given the fact that most of us have had extensive training in how *not* to give feedback. Here are some suggestions you may find helpful:

1. Find out which ineffective feedback behaviors you most want to get rid of. You can do this by paying careful attention to what you do in significant interactions; you can also find out by asking the "challengers" (and others) in your support group[5] if they can point out any criteria you violate frequently. (Sure! Show them the list if that will help.) Work on those—perhaps two or three. Try to *stop* doing the ineffective things, at the very least.

2. Don't expect miracles. Disconfirming feedback almost always carries some sting, no matter how skillfully given; and some people are more easily stung than others. Relationships marked by a relatively high degree of open, competent feedback are likely to be richer, more complex, more interesting than those marked by little feedback or game playing. They are, however, also likely to be more prickly and intense; and they require more time and energy, at times, than do those relationships in which "disconfirmations" are withheld or masked.

3. If for one reason or another (fear of punishment, risk of losing a relationship you're not ready to lose, lack of confidence in your skills, etc.) you think you don't want to try to be more open and use more effective feedback behaviors, then *don't*. But pay attention to the choice you are making—there may be some important learning in it for you. Or you may want to test out some feedback in very small increments, to see what happens.

4. The 13 criteria are useful to you as a *receiver* of feedback as well as giver. You may decide that you can't/won't give much feedback to another in a given relationship. OK. But do try to use what you've learned as a means of "managing" feedback you receive. If someone tells you you're being obnoxious, you may elect to be hurt or angry, or you may choose to be *curious* (perhaps *in addition* to being hurt or angry!)—to ask for descriptive information: "What am I doing that causes you to say that?" You can also try to help others "own" their feelings, rather than allowing them to shuffle them off onto others ("People are talking . . ."). You can help the sender explore his or her feelings (active listening is useful here) or clarify for you (and perhaps himself or herself) the *consequences* of the behavior being discussed. In short, if you know something about effective feedback skills (and if you can avoid getting into a defensive posture), you may be able to be helpful to the person giving you feedback, so that the two of you are *problem-solving* rather than attacking/defending. This will help you too, in that it will either get you much clearer feedback or it will indicate what "game" the sender is playing.

5. Don't become a feedback addict. Sometimes people get excited about new learnings and use them all the time and in every place. This can wear thin very quickly. Not every event needs to be worked through. Not every utterance has to be perfect. Remember to allow for some slippage in your relationships; take small risks, be willing to "approximate," and see what happens. Above all, don't use others as guinea pigs on which to practice your skills.

6. The feedback process works best when it involves people who are—at least in that interaction—equals. If one person is "up" (dominant, "right," faultless, containing all virtue) and the other "down" (passive, "wrong," the culprit or villain of the piece), it is likely to turn into one of a number of games, as the "down" person attempts (usually without realizing it) to equalize the power between them, to gain what might be called psychological parity. If you can recognize that what began as a feedback interaction between equals has moved to "helpless me" or "awful me" or "you're one, too" or "but you don't understand," or any of a variety of behaviors that might be lumped under the term "attack/defense," you may be able to alter the interaction's direction by having both you and the other person look at what's happening. Note well: both *you* and the other person. For as long as the burden is on the other, you're maintaining or increasing your "upness" and promoting an escalation of the power equalization efforts.

By now you may be muttering, "But it's so complicated; and it sounds like hard work; and it also sounds risky." Yes. And the same can be said of many of the things that are important to us. It is, I believe, a matter of *valuing*. If I value clear, open relationships, if I value the others with whom I share those relationships, and—most important, I think—if I value *myself* in those relationships, then I may find that I have no choice but to do the hard work, take the risks, suffer the losses, and be enriched by the gains. ☐

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[5] See footnote 3.

HANDOUT 1

Practicing Feedback

USING FEEDBACK TO CLEAR UP MISUNDERSTANDINGS IN IMPORTANT RELATIONSHIPS*

by Barbara Benedict Bunker

One common source of strain in our important relationships is the ***misunderstanding*** that occurs when people misperceive one another's intentions. Another source is *conflict,* which develops when there are disagreements as to values, decisions, ideas, ends, means, etc. It is problems caused by misperceptions, not disagreements, that this article will address. Further, it will focus on misunderstandings in *important relationships.* It may be helpful to provide an example that will make clear the distinction between relational difficulties caused by *misunderstanding,* and those caused by *conflict.*

When a decision has to be made about an expenditure of money and the two decision makers have different priorities for the use of those dollars, they are in a *conflict* that must be resolved. In another case, when two persons are negotiating about an expenditure and one keeps putting off or forgetting appointments to make the final decision, the other may develop a belief that the postponer is passively trying to sabotage the project, or make the other appear inefficient. Whatever belief is developed about the motivation of the postponer creates feelings in the person who holds that belief. In this case the feelings are apt to be angry or unpleasant and may cause a disruption in the relationship. The question is: "Is it true that the postponer is trying to make the other look bad?" It may not be. For example, the postponer's parents may have been in a serious car accident that has caused major interferences with normal functioning. But that information is not generally known. In this case the cause of the relationship difficulty is *misperception* (not conflict).

It is important to understand how *misperceptions* occur. The first section of the paper deals in some detail with the development of relationships and how perceptions are crucial in this process. Then we will turn to a discussion of *feedback,* the major strategy available to us for straightening out misunderstandings. We will show why feedback works especially well for these kinds of problems and discuss its centrality in maintaining important relationships.

The Role of Perception in the Development of Relationships

When two people develop a relationship, there are two important processes which they use to get to know each other: (1) They *tell,* or self-disclose, about themselves; and (2) They *observe what the other person does,* and on the basis of this they *make inferences* about the other.[1]

Both processes are important, sometimes occurring together and sometimes separately. Telling you about me is often one of the earliest things that happen in relationships. In our American culture, these disclosures usually begin with relatively innocuous information, such as where you were raised, work roles, the weather. If you respond, we tell each other more and more important things about ourselves.

As people spend more time with one another, each has a chance to observe the other's behavior. Impressions are formed of the other as a result of these observations. There are parts of you that I cannot see. I cannot see your values, beliefs, attitudes, intentions, or even your feelings. What I *can* see is what you do, your actions or behavior. In the ordinary, everyday process of interacting with others, I make the assumption that what you do, your actions, are expressions of the part of you that I can't see (your intentions, feelings, etc.). On the basis of this assumption, I make inferences about the meaning of your

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[1] These two processes correspond to windows in the Johari Window. The telling or self-disclosure process is the part of me that I know but you do not know unless I tell you. The observing process is the part of me that is known to you, the observer, but not to me. (See Luft, "The Johari Window.")

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behavior. For example, if you invite me to an important family social occasion, I may interpret this to mean that you feel very close to me. Notice, however, that these inferences are only our perceptions of what cannot be observed in the other, even though we may act upon them as though they were true.

How do we make these inferences? How do we decide what all the actions we see mean? As we grow up, we develop through our experiences what psychologists have called an "implicit personality theory." We develop a set of beliefs about the probability that certain actions are associated with particular feelings, intentions, or beliefs. For example, I see two people meeting and one approaches the other with a hug and kiss. If, in my implicit personality theory, I believe hugs and kisses are usually expressions of affection, my inference is that one person feels very affectionate toward the other. (I assume this even though I am aware that there are times when the same behaviors may stand for quite different feelings, e.g., Judas Iscariot.) Over our lifetimes we develop similar interpretations for hundreds of behaviors—e.g., the wrinkled brow (perplexed or displeased), a sudden jerk in the body (startled or afraid), the outstretched hand (greeting or welcome). When people act, we interpret and then respond on the basis of our interpretation. We can't stop to ask the other about the meaning of each action. We would never have time or patience to maintain our relationships if we had to ask about each action of the other.

To repeat an important point: Everyday relationships are conducted on the basis of hundreds of interpretations of the actions of others. We respond to others based on our own interpretations which we have developed over time. This process is terribly useful because it helps social interaction to occur easily and efficiently.

But what happens when our interpretation of an action is not correct? If Jimmy, age eight, comes up to his school teacher and hits her in the stomach, a common interpretation of what is going on in Jimmy would be that he is mad at her or that he is frustrated by her and is expressing his frustration. If she doesn't inquire further, she would probably begin to interact with him under the assumption that he is very angry. But what if she discovers that another boy in his class had bet him five dollars that he didn't have the nerve to sock his teacher? At that point she would have a different explanation for his behavior. If she responded to him as angry, not knowing about the bet, the potential for dealing effectively with the situation is low.

Here is another example from an older age group. Suppose you are in a meeting and a person new to the group interrupts you before you can complete your sentence four times during the course of an hour. You feel rising irritation toward this person. Why is this happening? One possibility is that she is aggressive, wants to look good to others, and is therefore moving in rapidly with ideas to establish as high status as possible in the group. In effect, disregard for your ideas (an interpretation based on her action of cutting you off) can lead you to the inference that the other is only interested in self. Another possible explanation is that the person is quite concerned about becoming a member of the group and is eager to be seen as a useful participant. The anxiety of being new is expressed by talking a lot and not listening well. In other words, her intention is to become a good member of the group but her behavior is awkward, not a very good representation of her intentions, and thus easily interpretable as meaning something else.

Your interpretation will determine how you proceed to interact. If you decided that the person was only out for herself, you might feel and act differently than if you saw a person who was awkwardly struggling to join up.[2]

There are always going to be occasions when our own interpretations of what is going on in another person are incorrect. After all, we are using a theory based on probabilities established by experience and there will always be individual exceptions. When this happens the potential for problems to develop in relationships is high and we need a process for checking out with the other person the interpretation we have made. The process that helps us correct such errors of interpretation is called *feedback*.

Feedback as a Strategy for Clearing Up Misperceptions

Feedback slows down and changes the normal process of observing and interpreting other people's behavior. This change is articulated in the conventional "rules for giving feedback."[3] The first step of the feedback process between two people is that the observer describes the actions of the other. That is, she describes only what can be seen, the behavioral data, not her

[2] For more on how we interpret events, see Porter, "The Learning Journal: Some Mechanics."

[3] See Porter, "Giving and Receiving Feedback."

inference about its meaning. Step two in the process occurs when the observer goes on to describe (self-disclose) her own feelings in reaction to that behavior. Both parts are exemplified in: "When you interrupted me four times in the meeting today, I felt annoyed."

Why is such a statement a useful way to explore misperceptions in relationships? The two steps of the feedback process do several things. First, describing the specific behavior permits the other to understand concretely what has caused difficulty in the relationship. Then, rather than interpreting the behavior, the observer describes her own feelings. In doing this, she renders herself more rather than less vulnerable.

Why is vulnerability such a key issue in the feedback process? When an important relationship is strained, both persons feel discomfort. An exploration of the cause of the tension may increase feelings of vulnerability, and yet it is only through such an exploration that new understandings develop and the relationship deepens. If both persons feel equally vulnerable there is a good chance that the tension can be borne in the service of developing a better relationship. If, on the other hand, one person is vulnerable and the other is not, there may be very little motivation for the first to remain vulnerable. Rather, the inclination will be to become self-protective.

Using the ordinary interpretation process, the observer might have said, "When you interrupted me four times in the meeting today, I began to think that you are more interested in establishing your own position in this group than in listening to others, and specifically to me." The psychological effect of that type of interpretive statement is that the one who makes it remains protected, not vulnerable to the other. This is because the statement discloses nothing of the speaker's own feelings. Yet the one who did the "interrupting" is clearly on the spot with regard to the impact of her behavior on another. The subtle (or not so subtle) implicit message is "The problem is in you; do something about it. It's your problem, not mine!" That is why interpretation of someone else's behavior makes it more difficult for them to explore that behavior, to respond openly.

One of the truisms of human interaction is that people don't like being told by others what their inner feelings and intentions are. They like being in control, and able to disclose feelings when they decide the time is right. Feedback creates a process where such a disclosure is an option. The other tells me what I did and what feelings that created. ("When you interrupted me four times in the meeting today, I felt annoyed.") Now I can choose whether I want to share, explore, or disclose what I was feeling and experiencing when I acted.

Feedback, then, is a process where risk is mutual. The person who gives the feedback becomes vulnerable by expressing feelings (not an interpretation, which is no risk). The receiver of the feedback may respond by taking the risk of disclosing what was not observable to the other.

It is the mutual sharing of those areas of each of us that are not observable by others which can clarify and deepen our most significant relationships. For that reason, the feedback process is only for those relationships where there is ongoing concern for the quality of the relationship. In other words, feedback requires not only risk, but also commitment. Those who engage in the feedback process must be prepared to commit themselves to the time and energy needed to explore and work through the issues raised. Feedback is a mutual process that needs the commited agreement of both parties in advance.

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HANDOUT 2

Practicing Feedback

13 EFFECTIVE AND INEFFECTIVE FEEDBACK BEHAVIORS*

TABLE 1
Effective and Ineffective Feedback Behaviors

	Effective Feedback	Ineffective Feedback
1	Describes the behavior which led to the feedback. "You are finishing my sentences for me."	Uses evaluative/judgmental statements. "You're being rude." Or generalized ones. "You're trying to control the conversation."
2	Comes as soon as appropriate after the behavior – immediately if possible, later if events make that necessary (something more important going on, you need time to "cool down," the person has other feedback to deal with, etc.)	Is delayed, saved up, and "dumped." Also known as "gunny-sacking" or ambushing. The more time that passes, the "safer" it is to give the feedback. Induces guilt and anger in the receiver, because after time has passed there's usually not much she or he can do about it.
3	Is direct, from sender to receiver.	Indirect, ricochetted ("Tom, how do you feel when Jim cracks his knuckles?") – also known as "let's you and him fight."
4	Is "owned" by the sender, who uses "I messages" and takes responsibility for his or her thoughts, feelings, reactions.	"Ownership" is transferred to "people," "the book," "upper management," "everybody," "we," etc.
5	Includes the sender's real feelings about the behavior, insofar as they are relevant to the feedback. "I get frustrated when I'm trying to make a point and you keep finishing my sentences."	Feelings are concealed, denied, misrepresented, distorted. One way to do this is to "transfer ownership" (see #4). Another way is to smuggle the feelings into the interaction by being sarcastic, sulking, competing to see who's "right," etc. Other indicators: speculations on the receiver's intentions, motivations, or psychological "problems": "You're trying to drive me nuts"; "You're just trying to see how much you can get away with"; "You have a need to get even with the world."
6	Is checked for clarity, to ensure that the receiver fully understands what's being conveyed. "Do you understand what I mean when I say you seem to be sending me a double message?"	Not checked. Sender either assumes clarity or – fairly often – is *not interested* in whether receiver understands fully: "Stop interrupting me with 'Yes, buts!'"
7	Asks relevant questions which seek information (has a problem-solving quality), with the receiver knowing why the information is sought and having a clear sense that the sender does not know the answer.	Asks questions which are really statements ("Do you think I'm going to let you get away with that?") or which sound like traps ("How many times have you been late this week?") Experts at the "question game" can easily combine the two ("How do you think that makes me feel?" or "Do you behave that way at home *too*?")[1]
8	Specifies consequences of the behavior – present and/or future. "When you finish my sentences I get frustrated and want to stop talking with you." "If you keep finishing my sentences I won't want to spend much time talking with you in the future."	Provides vague consequences. "That kind of behavior is going to get you into trouble." Or specifies no consequences, substituting instead other kinds of leverage, such as "shoulds" ("You shouldn't do that.")
9	Is solicited or at least to some extent desired by the receiver.[2]	Is imposed on the receiver, often for her or his "own good."

(continued)

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TABLE 1
Effective and Ineffective Feedback Behaviors

	Effective Feedback	Ineffective Feedback
10	Refers to behaviors about which the receiver can *do* something. ("I wish you'd stop interrupting me."), if she or he wants to.	Refers to behaviors over which the receiver has little or no control, if she or he is to remain authentic: "I wish you'd laugh at my jokes."
11	Takes into account the needs of both sender and receiver; recognizes that this is a "process," that it is an interaction in which, at any moment, the sender can become the receiver. Sender: "I'm getting frustrated by the fact that often you're not ready to leave when I am." Receiver: "I know that's a problem, but I'm concerned about what seems to be your need to have me always do *what* you want *when* you want."	Is distorted by the sender's needs (usually unconscious or unconsidered) *to be safe* (not rejected): "Now, I don't want you to get angry, but . . ."; *to punish*: "Can't you ever do *anything* right?"; *to win*: "Ah-ha, then you admit that you *do* interrupt me?"; *to be virtuous*: (Watch this one!) "I'm going to level with you, be open with you," etc. In short, most ineffective feedback behaviors come either from lack of skills or from the sender not seeing the process as an interaction in which both parties have needs that must be taken into account.
12	Affirms the receiver's existence and worth by acknowledging his or her "right" to have the reactions she or he has, whatever they may be, and by being willing to work through issues in a game-free way.	Denies or discounts the receiver by using statistics, abstractions, averages; by refusing to accept his/her feelings: "Oh, you're just being paranoid." "Come on! You're over-reacting." "You're not really as angry as you say you are."[3]
13	Acknowledges and, where necessary, makes use of the fact that a process is going on, that it needs to be monitored and sometimes explored and improved: "I'm getting the impression that we're not listening to each other. I'd like to talk about that and try to do this more effectively."	Either does not value the concept of "process" or does not want to take time to discuss anything other than content. Consequently does not pay any attention to the process, which can result in confusion, wasted time and energy, and lots of ineffective feedback.

[1] Most people can make significant improvements in their feedback skills by not asking *any* questions!

[2] Since this condition doesn't exist all that often you may wonder how you can *ever* give feedback. Keep two things in mind: (1) Not all the criteria have to be met all the time; and (2) If you have to *impose* it on the recipient, it's likely to be helpful to the process if you'll keep that in mind and take it into account as you interact.

[3] These may be accurate interpretations, of course, but the sender is not likely to "reach" the receiver by being "right" in these instances. In some significant human interactions there are often more important things than being that kind of "right."

HANDOUT 3

Practicing Feedback

A FEEDBACK MESSAGE SHEET: SESSION 1

I, ______________________________, want to give you, ______________________________,

some helpful feedback on one specific thing that you do or that you did

that **contributes or has contributed to the effectiveness** of our group.

When you ____

____,

I felt ______________________________ because ______________________________

____.

Your action will benefit the group by ______________________________________

____.

✂- -

A FEEDBACK MESSAGE SHEET: SESSION 2

I, ______________________________, want to give you, ______________________________,

some helpful feedback on one specific thing that you do or that you did

that **impedes or has impeded the effectiveness** of our group.

When you ____

____,

I felt ______________________________ because ______________________________

____.

Consequently, if you continue to do this, I __________________________________

____.

HANDOUT 4

Practicing Feedback

EXAMPLE FEEDBACK MESSAGE SHEET: SESSION 1

I, John A., want to give you, Mary L.,

some helpful feedback on one specific thing that you do or that you did

that **contributes or has contributed to the effectiveness** of our group.

When you volunteered to head up the data committee when no one else would.

I felt grateful to you because you demonstrated commitment to the group objectives.

Your action will benefit the group by getting a difficult task done and showing a willingness to accept a share of the "dirty work."

EXAMPLE FEEDBACK MESSAGE SHEET: SESSION 2

I, John A., want to give you, Mary L.,

some helpful feedback on one specific thing that you do or that you did

that **impedes or has impeded the effectiveness** of our group.

When you refused to acknowledge that my idea of surveying the department had any merit,

I felt angry because it seemed you had already made up your mind.

Consequently, if you continue to do this, I decided I might be unwilling to offer any new suggestions.

HANDOUT 1

How Well Do I Listen?

POWER LISTENING: ALL YOU NEED TO BE AN EFFECTIVE LISTENER*

by Hal Jenks

LISTENING IS POWER

An expert listener has the power of understanding—what another says, means, thinks, and feels.

An expert listener has the power of being valued and trusted. You don't have to watch people interacting for very long before you realize that nearly everyone would rather talk than listen.

A person who is willing to listen provides an important service. Talkers will treasure it and hold in high esteem the person whose behavior says, "You are so important that I will listen to what you say."

The expert listener has the power of influence. When people feel you care enough to listen and that you really understand them, they will give you the power to influence them. What you say and do becomes important to them because you are important.

This kind of listening that makes a person powerful requires a great effort from the listener. He must focus his energy in a powerful way. Power listening, then, refers not only to the power a person acquires but also to the power it requires.

WHAT IS LISTENING?

First of all, listening is not the same as hearing. In the movie *Oh, God!* George Burns, playing the Supreme Being, says, "I can't help hearing you, but I don't always listen." Perhaps it is a little reassuring to know that even the Almighty has not escaped a problem that is almost universal among men.

"Hearing is with the ears, but listening is with the mind," Keith Davis says in his book, *Human Behavior and Work.*

It is active. Dr. Mortimer Adler, philosopher and educator, compares communication—speaking and listening—to playing catch. Both the thrower and the catcher must be actively involved. "When the mind is not actively involved in the process," he says, "it should be called hearing, not listening."

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It is personal. In a way it requires us to get inside the skin of the person speaking. Author Leslie Farver says, "It requires the ability to attend imaginatively to another's language. Actually, in listening we speak the other's words."

It involves more than words. Dr. Thomas Vanville, in his book *How To Listen—How To Be Heard*, says that good listeners hear not only the content of a speaker's message but also the emotion behind it.

Besides emotions, the effective listener attends to what the speaker is not saying and to his intentions. This information is communicated through posture, gestures, and vocal qualities—speed, pitch, inflection, and vocal variety.

To listen in an active and personal manner—attending to words, body language, and vocal cues—demands discipline, concentration, and practice. In short, a person must focus his power to develop the skills of a power listener and acquire the power that goes with those skills. It is such a complex task that it is no wonder that most people do it so poorly.

HOW WE DON'T LISTEN: THE PROBLEM

Consider these numbers. When we are awake we are communicating about 80% of the time. Of that, 45% of the time we are listening.

How well do we remember what we hear? Studies show that 75% of the words that go into our ears are either ignored, misunderstood, or forgotten.

In an organization, the messages that come down from the top get distorted by as much as 80% by the time they reach the rank and file.

Messages that we do hear and understand, we probably won't remember. Tests show that after 48 hours, the average listener remembers only about 25% of the information heard in a 10-minute talk. To put it another way, 75% of what we hear goes in one ear and out the other.

In his book *I Hear You*, Eastwood Atwater talked about how well a college psychology class was able to pay attention. At various times during the course, students were asked to stop and write down what they were thinking about at that particular moment. At the end of the course the teacher analyzed all of their notations. He found that 20% were paying attention, but only 12% of these were actively listening. Of the remaining 80%, 20% were fantasizing, 20% were reminiscing, and 40% were daydreaming, worrying, meditating, or planning what to have for lunch.

WHY WE DON'T LISTEN

There are a number of reasons why we don't listen well. One has to do with our body's communication hardware. The brain is just too fast for the tongue.

Most people speak at about 125 to 140 words per minute. Some announcers and professional speakers can speak comfortably in the 170-to-200-word range.

The ear is able to listen to 400 words per minute or more with a little training.

The brain, that magnificent computer, is able to process information at a rate of 1,000 to 1,400 words per minute.

Because of the difference in these rates, the brain is able to tune in for a fraction of a second and process the words the speaker said and then take a break and tune out before the next series of words arrives. And that is exactly what poor listeners do—they allow their minds to tune out and wander.

Another problem is that most people have very short attention spans. According to a North Carolina University study, most people only actively listen for about 17 seconds at a time.

The reason for this may be that we have grown accustomed to the electronic media's pandering to our laziness by trying to make every fact and option short and simple. The consumer today wants instant everything and is not very patient with preachers, politicians, news commentators, or speakers who expect him to think long and hard.

A third reason for our difficulty as listeners has to do with our education. The amount of training that we received in communication skills is inversely related to how much we use them.

Most of us in our schooling have received the most training in writing; yet, on the average, we write only 9% percent of the time that we are communicating. The second greatest amount of training is in reading, and we use that only 16% of the time. [We receive even less training for speaking than for reading, yet use speaking] 30% of the time. Lastly, very few are trained to listen, and yet we use it 45% of the time we are communicating.

BAD LISTENING HABITS

Listening is a skill, and, to be effective, a person needs to learn the correct techniques and practice them until they become habitual. Most people, however, are untrained and have developed bad listening habits. The most common of these are described next.

Attention fakers These are people who, as you speak, look you straight in the eye and seem to hang on every word. They may even smile and nod in approval of what you are saying. But in reality they are a million miles away. Their mind and attention have gone out to lunch.

Fact gatherers These people are like Sergeant Joe Friday, star of the old radio and television series, *Dragnet*. He used to say, "Give me the facts, ma'am, just the facts." These listeners may understand every word you tell them, but they will miss most of your message because they do not tune in to emotion or intuition, voice qualities or body language.

Criticizers They criticize what you are saying either out loud or in their own minds. As a result they don't receive all of the message because part of their mental energy is diverted to categorize, analyze, and judge your words. They make you feel that you are being judged and not listened to. So even if they understand you perfectly, you leave feeling misunderstood.

Bored listeners They act as if your subject is uninteresting. But G. K. Chesterton said there is no such thing as an uninteresting subject, only uninterested listeners. No matter what the subject, you can, if you choose, develop the capacity to listen with interest.

Difficult material blockers The listeners might be great when you are talking about the weather or last night's TV programs. But if you try to talk about anything that is the least bit difficult to understand, they will turn you off like their television.

Distraction tolerators These people sort their mail, look out the window, wave to passersby, or tap their fingers while you are trying to tell them something. They latch on to any convenient distraction or, finding none, create one.

Note takers They are so busy trying to write down everything you say that they miss most of your message. They haven't learned to abstract from a speech only what is important—an outline, key points, or new information.

Mental rehearsers One of the most common varieties of poor listener is the person who is planning what he is going to say next while you are still speaking. He hears the first part of what you say and fills in the remaining part himself. Then he plans his own response so he'll be ready the minute you finish speaking. What he doesn't understand is that if you don't feel heard, you will not be very receptive to his comments no matter how brilliant they might be.

These are some of the more common bad listening habits. If you find that you have acquired many of them over the years, you may be feeling a little overwhelmed and discouraged. Or you may say, "So what? I've gotten along pretty well so far. And changing would take a lot of time and a lot of hard work. So what's in it for me?"

That's a fair enough question. Actually, there are many reasons why it is in your best interest to become an effective listener.

BENEFITS OF EFFECTIVE LISTENING

There are many ways you will be better off if you learn to become a better listener. Here is a list of nine benefits.

1. You will increase your **knowledge.** You don't learn anything new while you are talking.
2. You will **save time** because you will hear the message the first time, and it won't have to be repeated. You won't find yourself in the embarrassing position of explaining your behavior by saying, "Oh, I thought you said . . . ."
3. You will **reduce your stress**. You will be more centered and focused on the speaker and not pulled in a hundred directions at once.
4. You will **engage in true dialogue**. When you listen and the speaker also listens to you, then you can really understand one another.
5. You will **earn trust**. There is nothing people want so much and receive so little of as someone to listen. If you will value what a person says and really listen to it, you will be trusted.
6. You will **understand**. When you truly listen, you understand not only the words but also the feelings of the person.
7. You will **develop self-esteem**. If you will listen, people will beat a path to your door to speak to you. You will be sought out and valued, and, from that, your self-esteem will increase.
8. You will **become influential**. People tend to give power to those whom they trust and who, they believe, understand them. As you become a better listener, you will have more influence among your friends and coworkers.
9. You will **develop**. If you believe that you grow as a person by helping others, you will find listening invaluable. It is one of the most powerful tools we have for increasing another's self-esteem. Through listening we not only help others feel respected and important but also develop our human potential.

HOW TO LISTEN

By now you may have decided that you would really like to be a more effective listener and that you are willing to spend the time and energy necessary to develop the skill. What do you do next?

Learning to listen effectively is as easy as driving a car. And as hard. If you learned to drive in a car with a stick shift, as I did, you will know what I mean.

One day you found yourself in the driver's seat. On the floor were three pedals for your two feet. Your hands would be occupied with the steering wheel, the gear shift lever, and all manner of buttons and knobs to control the lights, wiper, heater, and radio plus the turn signal indicator and the horn. You had to watch the road in front, two or three mirrors, and various gauges. And you had to do everything at the same time.

The skill of listening effectively is at least as complex. But if you learn the various component behaviors and practice them regularly, before long you will become very proficient. And listening will become as easy as it is for you today to drive an automobile with a manual transmission.

One of the key differences between good listeners and poor ones is what they do with the time between listening. Remember that your brain works much faster than a person can talk (5 to 10 times faster). As a result the brain can process a phrase and take a few seconds off before it has to attend to a new batch of words. A poor listener will use this time to daydream, prepare a rebuttal, or think about something else.

A good listener will replay the words he has just heard to lock them in. He will pay attention to the structure of the speaker's language—to how he is developing his point and where it is likely to go next. He is listening to the nuance of meaning that is conveyed by the tone, volume, and speed of the speaker. He is observing the speaker's gestures, posture, and facial expressions. He will be attending to all of these things in those precious microseconds between the words he is hearing.

An effective listener also pays attention to the language—the vocabulary, figures of speech, grammar, idioms, and clichés. He pays attention not only to what is being said but to what is not being said.

He is aware of himself and of emotions that might, like colored glasses, affect his understanding. He is monitoring how he is staying tuned in to the speaker and indicating with looks, nods, and sounds that he is really listening.

The listener is also noticing the environment that he and the speaker are in and how that is affecting their communications.

Someone observing this listener might say, "He's not doing anything; he's just listening." In reality, the listener is doing many things with concentration, discipline, responsiveness, and interest.

That's a tall order. It's not surprising that most people don't listen very well.

But, on the other hand, there is nothing that a listener does that is especially difficult. Just as in driving a car, there are many easy things to do at once.

So if you want to become a more effective listener, one of the first things you have to do is recognize your own listening practices. As Yogi Berra, former New York Yankee and philosopher, said, "You can see a lot by just observing."

The second thing to do is learn the techniques for effective listening. The last thing is to practice, practice, practice. Let's look next at some of the techniques of an effective listener.

Six basic techniques

In his book *Listening Made Easy,* Robert Montgomery describes six basic techniques that form the acronym **LADDER**. Let's examine these first.

☐ **Look** at the person you are speaking to and maintain contact.

☐ **Ask questions** when you do not understand but also to enlarge on the speaker's ideas and to show your interest.

☐ **Don't interrupt**. Allow the speaker to express his ideas without interruption. When he finishes, pause a moment before responding.

☐ **Don't change the subject**. If you intend to be a good listener, you must be sensitive to the speaker's agenda.

☐ Be aware of your **emotions** as you listen. Don't react so strongly to the speaker's message, voice, or appearance that you are unable to appreciate what he is saying. Be aware of the speaker's emotionally charged words. If you react emotionally to such words, you may develop listening "dead spots" and miss the speaker's meaning.

☐ When you **respond** to the listener by using your body—eyes, voice, gestures, posture—you show empathy and understanding. You show the speaker you are listening when you make eye contact. You nod your head when you agree, wrinkle your brow when you question. You smile when amused, frown when disappointed, and raise your eyebrow when surprised. By using this kind of body language, you are forced to stay tuned in to the speaker. And this tells him that you value what he says and respect him.

Advanced techniques

In addition to the **LADDER** techniques, there are many others you can use to become a better listener. Once you have mastered the basics, you can move on to these **advanced techniques.**

- ☐ **Reflect** the information that you have heard, either by parroting it word for word or for paraphrasing it. When a command is given in the military, a subordinate will repeat back exactly what he heard. This is an effective way of making sure that the message has been received as sent. Another way is to say back in your own words what it is you heard, checking to make sure that you got the message right.
- ☐ **Concentrate.** A major contributor to poor listening is the habit of breaking into a speaker's talk with your own dissenting thoughts. Scott Witt, in his book *How To Be Twice as Smart*, points out, "If you argue with what is being said (even if the arguments are mental and kept to yourself), you will be blocking out a good deal of information, some of which could be valuable." Concentration and ability to focus attention are the keys to selective listening. Meditation is one way to improve both concentration and selective listening. Relaxation techniques and hypnosis also work well to develop this skill.
- ☐ In the lag time between mental activity and speaking time, **repeat in your mind** what it is the speaker has just said.
- ☐ Listen to what the individual says **without passing judgment**. It is only when you can hear what is being said and the speaker perceives you hear him without judgment that you can hope to influence.
- ☐ By identifying the **structure** of the speaker's remarks, you will find it easier to understand and follow. This is especially true if you are listening to a formal speech. Although a speech can be arranged in many ways, speakers usually lay out their ideas according to a basic pattern of organization.
- ☐ Listen for both the content and **intent.** Notice the facial expression and body language of the speaker. Listen to the tone of voice, volume, and speed. Listen to what is said and interpret what is meant. By listening between the lines, you can sometimes understand the intent of the speaker.
- ☐ Look for **congruence** between what you hear and what you see. Words are accompanied by changing tones and volumes of voice, fluctuating facial expressions, hand gestures, and body movements. Body language may reinforce or contradict the speaker's words. When body language is not congruent with the words, you can be fairly certain that you are being deceived and that the nonverbal communications are the real message.
- ☐ Do not take excessive notes so as to be distracted from what the speaker is saying. But sometimes by making **notes that are brief**, you indicate you believe what the speaker is saying is important.

☐ Look for what is **unique**, both in the message and in the way it is being delivered. With practice, you can become very sensitive to nuances or difference. As a child, I attended a Catholic elementary school in which most of the teachers were nuns. At that time they all wore special clothing called "habits" and all looked alike. However, as the year went on, we were able to identify a nun from the back down at the end of the corridor because we had become so sensitive to the difference in size and shape. A similar sensitivity can help us not only to hear more of what a speaker is saying but also to appreciate it at new levels.

This is not an exhaustive list of the techniques that make up effective listening. But it does provide a good foundation.

PRACTICE

The last step in the process of developing into an effective listener is to select the techniques that are most valuable to you and begin to practice them. This is easier said than done.

Despite your intentions and determination, once you return home from this seminar, it is all too easy to forget your resolve and return to familiar listening habits.

What you need to do is develop a daily plan for practicing listening techniques. Practice sessions can be very brief—a minute or less. Select a technique you want to work on and schedule times each day to practice. It might be easiest to do it before meals, at the start of meetings, or at break time. The important thing is to practice regularly. Make it a part of your routine, and soon it will be a habit.

In a short time you will find yourself becoming skilled in one technique and you will automatically integrate it into your listening behavior. Then it will be time to move on to a new technique. In no time you will discover that you are listening much more effectively. You will have more personal power, self-esteem, competence, and influence.

An Italian proverb tells us that "From listening comes wisdom, and from speaking, repentance."

As you master the techniques, you will join the minority of effective listeners and experience a new wisdom.

You will experience the kind of appreciation expressed by Henry David Thoreau when he said that the greatest compliment he ever received was when someone asked him what he thought and then sincerely listened.

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HANDOUT 1

Becoming a Better Listener

HOW TO CORRECT BAD LISTENING HABITS

Concentrate on what is being said—content and intent.

Observe facial expression and body language.

Respond by using your eyes, voice, gestures, and posture to communicate empathy and understanding.

Reflect the information you hear by repeating or paraphrasing it.

Elicit more information by asking questions.

Control the desire to interrupt, pass judgment, or change the subject.

Take advantage of the lag time between mental activity and speaking time to notice the speaker's language, nuances, and body language.

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HANDOUT 1

Resistance: A Role Play

ROLE SHEET: TEAM MEMBER*

You are an experienced manager and have been a department head in this company for 4 years. You take pride in your ability to get things done in your own way, and the company has recognized this with the rapid promotions and pay increases that you have received.

Recently you have been aware of increasing unrest on the part of the younger workers and supervisors in the organization. In your opinion, if other department heads acted more directly and independently with their subordinates, this kind of problem would be minimized.

About 10 days ago, you received a memo from the executive vice president, to whom you report, in which he detailed his reactions to an exciting seminar he attended on team building. He has decided that the top level of management should be recognized and trained to begin functioning as a management team. The memo identified the managers included in this organization, and you are one of them.

You are not happy about this designation since you are not, and never have been, a believer in the team approach. You think that team building is a waste of time and is just a way for ineffective managers to cover up their incompetence and avoid taking responsibility for their own mistakes. You have friends in other organizations who work this way, and they report problems with it. You know that it will take a lot of extra time and effort to set this team business in motion. Besides, you do not feel comfortable in suggesting things to other managers in their areas of expertise, and you do not want some outsider telling you how to run your department. Furthermore, you do not like, respect, or trust some of the others who will be on the team and would prefer not to work closely with them.

The vice president has scheduled the first meeting with the team in 10 minutes. You plan to deal with this issue at the outset.

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HANDOUT 2

Resistance: A Role Play

ROLE SHEET: VICE PRESIDENT A*

You have recently been promoted to executive vice president for internal affairs of a large company. For some time, you have felt that management team building throughout the entire organization would produce tremendous results. You recently attended a seminar on team building and are convinced that the sooner a move is made in this direction, the better.

As you see it, the main advantages of team building are:

1. Work can be divided to take advantage of the different skills of the team members.
2. It will provide a support system for managers, who are currently isolated in their own departments.
3. Managers will stimulate each other's thinking, thus becoming more creative.
4. It will create the flexibility that is needed to deal with a variety of problems.
5. It will provide the base for project management, should that be indicated.
6. In other companies that you know of, it has led to significant changes in corporate policy that were not otherwise easy to achieve.

You have informed the management team of your intention, and today you are going to meet the managers for the first time as a team. You have a lot riding on this move, not only in terms of what is best for the company but also because this is your first major decision in your new position. You have heard through the grapevine that there is a good bit of grumbling about this change. Your managers are sharp, effective people, but they are used to working almost totally independently. You expect to meet some stiff resistance at this meeting.

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Your Approach to the Team's Resistance

You are to do your best to influence as many team members as you can to accept the concept of team building. Your goal is to break down or work around the resistance that the managers will offer.

In addition to making points that appeal to professional pride, feel free to influence the managers with:

1. Facts and figures
2. An appeal to loyalty and fair play
3. Your own power and status
4. Guilt
5. Self-interests and benefits

Use any other methods that fit for *you*. Keep in mind that it would be very helpful to get most if not all of the managers "on board" at this meeting, since this is the most prestigious group in the company. If you can get them to join you, it will influence others who are ambivalent or negative to the approach.

HANDOUT 3

Resistance: A Role Play

ROLE SHEET: VICE PRESIDENT B*

You have recently been promoted to executive vice president for internal affairs of a large company. For some time, you have felt that management team building throughout the entire organization would produce tremendous results. You recently attended a seminar on team building and are convinced that the sooner a move is made in this direction, the better.

As you see it, the main advantages of team building are:

1. Work can be divided to take advantage of the different skills of the team members.
2. It will provide a support system for managers, who are currently isolated in their own departments.
3. Managers will stimulate each other's thinking, thus becoming more creative.
4. It will create the flexibility that is needed to deal with a variety of problems.
5. It will provide the base for project management, should that be indicated.
6. In other companies that you know of, it has led to significant changes in corporate policy that were not otherwise easy to achieve.

You have informed the management team of your intention, and today you are going to meet the managers for the first time as a team. You have a lot riding on this move, not only in terms of what is best for the company but also because this is your first major decision in your new position. You have heard through the grapevine that there is a good bit of grumbling about this change. Your managers are sharp, effective people, but they are used to working almost totally independently. You expect to meet some stiff resistance at this meeting.

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Your Approach to the Team's Resistance

Your main aim in this session is to help the managers to express all of their reservations. Try to elicit the most frank statements you can from each manager.

Give arguments in favor of team building only when the managers directly and specifically ask for them. Furthermore, do not talk about any future action steps until you are convinced that the managers have expressed all of their objections and negative feelings.

While it would be very nice if you could get agreement and clear support in this first meeting, you realize that the likelihood of that happening is rather small. If the resistance you anticipate cannot honestly be reduced to a workable level, you are much better off leaving things as they are for now. The very last thing you want or need is a lot of "yes sirs/maams " now and no support once you have made the changes. So, while you maintain your opinion, you realize that it is better not to force the issue.

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HANDOUT 4

Resistance: A Role Play

RESISTANCE RATING SHEET*

Vice President A B
(circle the appropriate letter)

Having just left the first meeting of the new management team, please indicate your impressions of the team and the vice president on the sheet below.

1. To what extent do *you* trust the vice president as your team's leader?

1	2	3	4	5	6	7
Not at all						To a great extent

2. How do you feel now about working with the other team members?

1	2	3	4	5	6	7
Uncooperative						Cooperative

3. To what extent, if any, has your attitude toward team building changed?

1	2	3	4	5	6	7
More resistant						More receptive

4. How willing are you to give the team appoach a chance—say, for 6 months?

1	2	3	4	5	6	7
Totally resistant						Very willing

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HANDOUT 1

Positive Group Behaviors Identified

WHAT TO OBSERVE IN A GROUP*

by Edgar H. Schein

One way to learn in a training laboratory is to observe and analyze what is happening in one's T Group. All of us have spent our lives in groups of various sorts—the family, gang, team, workgroup, platoon, and so on—but rarely have we taken the time to observe, discuss, and try to understand what was going on in the group. One of our main goals here is to become better observers, which may help us become more effective group participants.

But what do we look for? What is there to see in a group?

I. Content and Process

When we observe what the group is talking about, we are focusing on the *content.* When we try to observe how the group is handling its communication, i.e., who talks how much or who talks to whom, we are focusing on group *process.*

Most discussion topics about the back-home situation emphasize the *content*: "What is good leadership?" "How can I motivate my subordinate?" "How can we make meetings more effective?" They concern issues which are "there-and-then" in the sense of being abstract, future- or past-oriented, and not involving us directly. In focusing on group *process,* we are looking at what our group is doing in the "here-and-now," how it is working in the sense of its present behaviors.

In fact, the content of the conversation is often the best clue as to what process issue may be on people's minds when they find it difficult to confront the issue directly. For example:

Content	*Process*
Talking about problems of authority back home may mean . . .	that there is a leadership struggle going on in the T Group.
Talking about how bad group meetings usually are at the plant may mean . . .	that members are dissatisfied with the meeting of their own T Group.
Talking about staff men who don't really help anybody may mean . . .	dissatisfaction with the way the trainer in the T Group is behaving.

At a simpler level, looking at process really means to focus on what is going on in the group and to try to understand it in terms of other things that have gone on in the group.

II. Communication

One of the easiest aspects of group process to observe is the pattern of communication:

Who talks? For how long? How often?
Whom do people look at when they talk:
Others who may support them? The group as a whole?
The trainer? No one?

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Who talks after whom? Who interrupts whom? What style of communication is used—assertions, questions, tone of voice, gestures, support or negation?

The kinds of observations we make give us clues to other important things which may be going on in the group, such as who leads whom or who influences whom.

III. Decision-Making Procedures

Whether we are aware of it or not, groups are making decisions all the time, some of them consciously and in reference to the major tasks at hand, some of them without much awareness and in reference to group procedures or standards of operation. It is important to observe how decisions are made in a group in order to assess the appropriateness of the method to the matter being decided on, and in order to assess whether the consequences of given methods are really what the group members bargained for.

Group decisions are notoriously hard to undo. When someone says, "Well, we decided to do it, didn't we?" any budding opposition is quickly immobilized. Often we can undo the decision only if we reconstruct it and understand how we made it and test whether this method was appropriate or not.

Some methods by which groups make decisions follow:

The Plop: "I think we should introduce ourselves"... silence. (Group decision by omission)

The Self-Authorized Agenda: "I think we should introduce ourselves, my name is Joe Smith . . . ." (Decision by one)

The Handclasp: "I wonder if it would be helpful if we introduced ourselves?" "I think it would, my name is Pete Jones. . . ." (Decision by two)

"Does Anyone Object?" or "We all agree." (Decision by a minority—one or more)

Majority-Minority Voting. (Decision by majority)

Polling: "Let's see where everyone stands; what do *you* think?"

Consensus Testing: Exploration to test for opposition and to determine whether opposition feels strongly enough to be unwilling to implement decision; not necessarily unanimity but essential agreement by all.

The procedure can be tricky. For example, it sometimes happens that a decision to poll—which looks very democratic, because polling is considered democratic—can be made by self-authorization or by handclasp. At such a point, the alert group member will realize what is going on and insist that the group be clear on its decision-making style. Actually, the decision a group makes about how it will make decisions can be the most important single element with respect to how it works as a group.

IV. Task or Maintenance Behavior vs. Self-Oriented Behavior

Behavior in the group can be seen from the point of view of what its purpose or function seems to be. When a member says something, is he primarily trying to get the group task accomplished (task), to improve or patch up some relationships among members (maintenance), or to meet some personal need or goal without regard to the group's problems (self-oriented)?

The types of behavior relevant to the group's fulfillment of its *task* are these:

Initiating: Proposing tasks or goals; defining a group problem; suggesting a procedure or ideas for solving a problem. . . .

Seeking Information or Opinions: Requesting facts; seeking relevant information about group concern; requesting a statement or estimate; soliciting expressions of value; seeking suggestions and ideas. . . .

Giving Information or Opinion: Offering facts; providing relevant information about group concern; stating a belief about a matter before the group; giving suggestions and ideas.

Clarifying and Elaborating: Interpreting ideas or suggestions; clearing up confusions; defining terms; indicating alternatives and issues before the group. . . .

Summarizing: Pulling together related ideas; restating suggestions after the group has discussed them; offering a decision or conclusion for the group to accept or reject. . . .

Consensus Testing: Asking to see whether the group is nearing a decision; sending up a trial balloon to test a possible conclusion. . . .

Types of behavior relevant to the group's remaining in good working order, having a good climate for task work, and good relationships which permit maximum use of member resources, i.e., ***group maintenance,*** are as follows:

Harmonizing: Attempting to reconcile disagreements; reducing tension; getting people to explore differences. . . .

Gate Keeping: Helping to keep communication channels open; facilitating the participation of others; suggesting procedures that permit sharing remarks. . . .

Encouraging: Being friendly, warm and responsive to others; indicating by facial expression or remark the acceptance of others' contributions. . . .

Compromising: When own idea or status is involved in a conflict, offering a compromise which yields status; admitting error; modifying in interest of group cohesion or growth. . . .

Standard Setting and Testing: Testing whether the group is satisfied with its procedures or suggesting procedures; pointing out explicit or implicit norms which have been set to make them available for testing. . . .

Every group needs both kinds of behavior and needs to work out an adequate balance of tasks and maintenance activities.

V. Emotional Issues: Causes of Self-Oriented, Emotional Behavior

The processes described so far deal with the group's attempts to *work,* to solve problems of task and maintenance; but there are many forces active in groups which disturb work, which represent a kind of emotional underworld or undercurrent in the stream of group life. The underlying emotional issues produce a variety of behaviors which interfere with or are destructive of effective group functioning. Groups often ignore such an issue or wish it away, an action that can be detrimental to their task-accomplishment as well as to the growth of the individual(s) whose behavior is based on self-oriented needs. The effective group will recognize what is going on, try to identify the issue, and then work with it in ways which permit these same emotional energies to be channeled in the direction of the group's effort.

What are these emotional issues or basic problems?

Identity: Who am I in this group? Where do I fit in? What kind of behavior is acceptable here?

Goals and Needs: What do I want from the group? Can the group goals be made consistent with my goals? What have I to offer to the group?

Power, Control, and Influence: Who will control what we do? How much power and influence do I have?

Intimacy: How close will we get to each other? How personal? How much can we trust each other? Can we achieve a greater level of trust?

What kinds of behaviors are produced in response to these problems?

Dependency-Counterdependency: Opposing or resisting anyone in the group who represents authority.

Fighting and Controlling: Asserting personal dominance, attempting to get own way regardless of others.

Withdrawing: Trying to remove the sources of uncomfortable feelings by psychologically leaving the group.

Pairing Up: Seeking out one or two supporters and forming a kind of emotional subgroup in which members protect and support one another.

These are not the only phenomena which can be observed in a group. What is important to observe will vary with what the group is doing, the needs and purposes of the observer, and many other factors. The main point, however, is that improving our skills in observing what is going on in the group will provide us with important data for understanding groups and increasing our effectiveness within them. Often, the most effective and useful group member will be the one who can function as "participant/observer," contributing to the group's task accomplishment, yet still able to use a "third eye" to observe how the group is working—information which he shares with the group at appropriate times in an effort to help it deal with maintenance issues and blockages arising out of self-oriented needs. ☐

HANDOUT 1

Seven Pieces: Identifying Group Roles

LECTURETTE ON GROUP ROLES*

Within any group the members assume different roles, several of which have been determined to be necessary for a smoothly functioning, effective group. These roles may be assumed by separate members or shared by various members at different points, and in many cases one or more of the individual members may fulfill more than one role.

Because every group has both *task* and *maintenance* functions, some of the essential roles are task related in that they help a group to accomplish things, and some are maintenance related in that they facilitate the participation of the members.

Task roles include:

- *Initiator:* Proposes tasks, goals, or actions; defines group problems; suggests procedures.
- *Information seeker:* Asks for factual clarification; requests facts pertinent to the discussion.
- *Opinion seeker:* Asks for clarification of the values pertinent to the topic under discussion; questions values involved in the alternative suggestions.
- *Informer:* Offers facts; gives expression of feelings; gives opinions.
- *Clarifier:* Interprets ideas or suggestions; defines terms; clarifies issues before the group; clears up confusion.
- *Summarizer:* Pulls together related ideas; restates suggestions; offers decisions or conclusions for the group to consider.
- *Reality tester:* Makes critical analyses of ideas; tests ideas against data to see if the ideas would work.
- *Orienter:* Defines the position of the group with respect to its goals; points to departures from agreed-on directions or goals; raises questions about the directions pursued in group discussions.
- *Follower:* Goes along with the movement of the group; passively accepts the ideas of others; serves as an audience in group discussion and decision making.

more ➪

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* Reproduced from "The Seven Pieces Lecturette on Group Roles," by Nadine J. (Hoffman) Carpenter, in *The 1984 Annual: Developing Human Resources*, ed. J. William Pfeiffer and Leonard D. Goodstein (San Diego), pp. 20–21, with the permission of University Associates, Inc. The lecture was adapted from E. Guthrie and W.S. Miller, *Process Politics: A Guide for Group Leaders* (San Diego: University Associates, Inc., 1981). The descriptions of task and maintenance roles originated with and were adapted with special permission from "What To Observe in a Group," by Edgar Schein, from *Reading Book*, ed. Cyril R. Mill and Lawrence C. Porter (Alexandria, Va.: NTL Institute for Applied Behavioral Science, 1976), pp. 28–30.

Maintenance roles include:

- *Harmonizer:* Attempts to reconcile disagreements; reduces tension; gets people to explore differences.
- *Gatekeeper:* Helps to keep communication channels open; facilitates the participation of others; suggests procedures that permit sharing remarks.
- *Consensus taker:* Asks to see whether the group is nearing a decision; "sends up trial balloons" to test possible solutions.
- *Encourager:* Is friendly, warm, and responsive to others; indicates by facial expressions or remarks the acceptance of others' contributions.
- *Compromiser:* Offers compromises that yield status when his or her own ideas are involved in conflicts; modifies in the interest of group cohesion or growth.
- *Standard setter:* Expresses standards for the group to attempt to achieve; applies standards in evaluating the quality of group processes.

It can be useful for a group to determine which roles are fulfilled by which members. If certain roles appear to be missing, the members can plan to incorporate the associated behaviors into their group activities. In addition, determining roles allows the members to form a clear perception of their value to the group, and they can consciously build on the behaviors that they naturally exhibit and that are comfortable to them, thereby helping the group to realize its potential.

HANDOUT 1

Team Climate Survey

TEAM CLIMATE SURVEY*

Instructions Please rate your workplace group climate on the 9-point scales below. Circle the number on each scale that best reflects your judgment.

1. Atmosphere

Is the atmosphere among group members informal, comfortable, and open? Is there an absence of obvious tensions?

informal/ relaxed	1	2	3	4	5	6	7	8	9	formal/ tense

2. Level of participation

Are group members involved and interested? Does everyone participate in the discussions?

involved/ interested	1	2	3	4	5	6	7	8	9	bored/ withdrawn

3. Focus

Does the discussion remain pertinent to the task or topic that the group has met to address? If the discussion gets off the subject, does someone in the group bring it back on task quickly?

on task/ on topic	1	2	3	4	5	6	7	8	9	off task/ off topic

4. Goal centeredness

Are the tasks and objectives of the group well understood and accepted by the members?

well understood/ accepted	1	2	3	4	5	6	7	8	9	poorly understood/ not accepted

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* The dimensions in this survey were suggested by Douglas McGregor's list of qualities that characterize an effective working team, described in his book, *The Human Side of Enterprise* (New York: McGraw–Hill Book Company, 1960), pp. 232–235. Used with permission of McGraw–Hill Book Company.

5. Listening skills

Do the members of the group listen to each other?
Is each idea considered, or is there a tendency to jump from one idea to another unrelated idea?

members listen	1	2	3	4	5	6	7	8	9	members don't listen

6. Risk taking

Are group members willing to contribute unpopular or extreme ideas, ask "dumb" questions, or take other kinds of initiatives that involve risk?

take risks	1	2	3	4	5	6	7	8	9	avoid risks

7. Managing conflict

Are group members comfortable with conflict, or do they avoid it?
Do they examine the reasons for a disagreement in order to resolve it, or do they suppress or override disagreements by going ahead with group action?

face conflict	1	2	3	4	5	6	7	8	9	avoid conflict

8. Consensus

Are decisions made in such a way that the members of the group can commit themselves to them? Do those who oppose an action voice their opposition to ensure that the consensus reached is genuine rather than apparent?

consensus achieved	1	2	3	4	5	6	7	8	9	no genuine consensus sought

A Monument to the 21st Century

GROUP DEVELOPMENT: DISCUSSION QUESTIONS

1. To what extent were group members concerned about **inclusion issues?**
   - Do I wish to be included in these group tasks?
   - Will my ideas be accepted?
   - What will be required of me in this group? Am I willing to pay the price?

2. To what extent were group members concerned about **control issues?**
   - Who will decide what we do?
   - How much power and influence do I have?
   - What is an acceptable process for making decisions?

3. To what extent were group members concerned about **openness issues?**
   - What roles will each of us have in achieving results?
   - Is everyone comfortable with the way we are interacting and with what we are now doing?
   - Are we relying on the unique talents of every group member in accomplishing our tasks?

HANDOUT 2

A Monument to the 21st Century

THE GROUP: A CYCLE FROM BIRTH TO DEATH*

by Richard C. Weber

During our professonal and social lives, we have all experienced groups that have jelled or worked and those that have not. How is it that some groups form and develop from a collection of individuals to a cohesive functional unit? Is there any predictability in the process or is it just "fate?"

The experience of a "good group" is frequently equated to a mystical experience: something that "just happens," either by divine providence or the match of astrological characteristics, or a blend of individuals' chemistries. Conversely, the experience of a "bad group" is attributed to poor leadership, a lack of compatability of the members, lack of time, or inattention to process. All of these factors *may* affect our experiences of groups. Groups are complex living entities, similar in many ways to the individual. Yet few of us think about the development and growth of groups.

In this brief presentation, I wish to share a developmental process that *all* groups go through.

Each group proceeds through three major stages of development, which can be compared to the infant, adolescent, and adult stages of the person. Each stage has four dimensions that need attention: Group Behavior, Group Tasks/Issues, Interpersonal Issues, and Leadership Issues. Numerous behavioral scientists have explored each of these dimensions; I have chosen the work of Bruce W. Tuckman (1965), William Schutz (1971), and Wilfred Bion (1961) for this presentation/exploration.

Each stage is unique in comparison to the other stages and how each group experiences and lives through it. And, each stage is lived by all groups that develop into cohesive, functional units.

As in the development of the person, certain stages may be more or less pleasant for us to experience. Each must be lived through, however, and each can be treasured as our own unique experience in an inevitable cycle of development.

Stage I: Infancy ("Forming")

Regardless of what events or structure gives birth to a group, it has to form, to come together. The behaviors in Stage I are initially polite and superficial as each person seeks out similarities or common needs. While introductions are made, each individual is testing the amount of compatability of her or his reasons for being there with the stated reasons of other members. Confusion and anxiety abound as different styles and needs become evident. The goal for the individual is to establish safe patterns for interaction. The group issue is the establishment of basic criteria for membership.

Interpersonally, each individual is working at varying levels of intensity on the issue of inclusion. Some questions raised during Infancy are: "Do I wish to be included, here and with these people? Will they include me, accept me as I am? What will be the price and am I willing to pay it?"

The first stage reflects dependency with regard to leadership. As confusion, ambiguity, and anxiety abound, individuals look to whatever leadership exists in the group or the environment. Whatever direction or information is provided is grasped for guidance. Where there is no response from the designated leadership, written descriptions or charges to the group may become a substitute, e.g., "The training description says. . . ." If this is also lacking, the absence of direction itself may be brought forward as direction and guidance, e.g., "As we are getting no direction, we must be expected to proceed ourselves and take responsibility to. . . ."

Depending on the similarities in style and needs that exist in the group, and depending on the tolerance for ambiguity that exists in the group, this first stage may be smooth and pleasant or intense and frustrating.

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* Reproduced from the *NTL Reading Book for Human Relations Training*, 7th ed., ed. Lawrence Porter and Bernard Mohr (Alexandria, Va., 1982), pp. 68–71, with the permission of the NTL Institute for Applied Behavioral Science. Copyright © 1982.

Stage II: Adolescence ("Storming")

When and if a common level of expectation is developed, the group can then move into the even stormier stage of Adolescence. Possibly the most difficult stage of development to tolerate in either persons or groups, this stage cannot be avoided, as it is a crucial stage dealing with power and decision making—necessary skills for the future functioning of the group.

In Stage II, after a base level of expectations and similarities is established, individuals begin to challenge differences in a bid to regain their individuality, power, and influence. Individuals start to respond to the perceived demands of their task, usually with a full range of emotions. Regardless of how clear the task or structure of the group, group members react and will generally attack the designated leadership (facilitators), as well as any emerging leaders within the group. These bids for power and influence may either take the form of direct attacks or covert nonsupport. Interpersonally, members are working through their own control needs, both to be in sufficient control and to have some sense of direction.

The leadership issue is one of counterdependence, i.e., attempting to resolve the felt dependency of Stage I by reacting negatively to any leadership behavior which is evident. By doing so, members remain dependent in that they are not initiating but reacting. Until individuals break out of this frustrating cycle of reaction and begin initiating independent and interdependent behavior, they will remain in the maze of Stage II.

As group members persevere in their attempts to create acceptable order/process for decision making within the group, they will lead themselves into Stage III. The activity and skills gained in this stage are essential for the group to proceed. If the group tries to escape from the unpleasantries of this stage, it will experience failure and will return to Stage I and II again until the process is completed and power issues identified, including the mechanics of decision making. The more aware the group is of what it has accomplished in this stage, the faster the group will evolve and develop in the future.

Stage III: Adulthood ("Norming & Performing")

With the frustration of the first two stages behind, the group can finally pull together as a real group, not merely a collection of individuals. Here the group becomes a cohesive unit as it begins to negotiate roles and processes for accomplishing its task. Functional relationships are explored and established in spite of differences. The group is ready to tackle its goals, working together collaboratively. With the accomplishment of some goals, group members may gain and share insights into the factors that contribute to or hinder their success.

Interpersonally, members are now working out of affection or a caring about others in a deeper, less superficial manner than before. Meaningful functional relationships develop between members. Leadership issues are resolved through interdependent behavior, or working with others. Tasks are accomplished by recognizing unique talents in the group—leading where appropriate and sanctioned and following where productive and necessary. As this interplay occurs, trust evolves.

The experience of accomplishment, whether it be successfully reaching consensus or solving a group problem, provides a powerful unifying force. The sense of "group-ness," a feeling of the uniqueness of the group with all its strength and faults, occurs. The group now has an identity of its own that is in no way diminished by its having evolved through the same cycle as countless other groups.

Re-Cycling Through the Process

Groups may proceed through the three stages quickly or slowly; they may fixate at a given stage; or they may move quickly through some and slowly through others. If they do indeed complete all three stages, however, and have sufficient time left in their life together, they will again re-cycle through the stages. This additional development will lead to deeper insight, accomplishment, and closer relationships.

With the accomplishment of each significant task (or lack thereof), the group must again address the issues of inclusion (What does it mean to be a member now?); control (Who will influence now? How?); and affection (How close and personal can we be? How much can we trust each other?). If the group has learned from its past experience, following cycles will be substantially easier.

As in any human development process, the group development cycle has pitfalls. Inattention to possible traps may result in more frustration and anxiety than is needed in the respective stage. If no learning or insight is gained along the way through the cycle, groups will ponder, "Why are we doing or going through all of this again?" Groups must be attentive to their process and learn through it.

Groups may also re-cycle back to a previous stage before completing the full cycle, for a number of reasons:

- Change in the composition of the group (additions or deletions) necessitates returning to Stage I.
- Change in the charge of the group, back to Stage I.
- Inattention to the needed activities in a stage will sooner or later require a return to that stage.

Stage IV: Transforming

When the purpose of the group has been achieved, or if the time for the group has expired, the group is faced with transforming. Transforming can take one of two paths: Redefinition: establishment of a new purpose and/or structure; or Disengagement, Termination, or Death. The group must decide on its future or it will proceed down a frustrating, unfulfilling path. The natural tendency for any group that has successfully achieved a full cycle is to attempt to remain together in some form in the future. The shared experience—with all of its pain and joy, its meaning and insight—bonds the members of the group together.

When the purpose has changed or the time has elapsed, however, the group must disengage. Not uncommonly, groups will attempt to define ways of retaining contact after separation through letters or planned reunions in an effort to escape the pain of disengagement. But failure to disengage, to recognize that the life of the group, as its members have experienced it, has come to an end, will only lead to a hollow, unfinished feeling in the future. Even if the members were to remain in contact, or if a reunion were to occur (which seldom happens), the experience will never be the same, as the contexts of each of the members will have changed. So as the person must face the inevitability of leaving this life, members must realize that groups too must die. But if nourished, the spirit or experience can live on.

> Experience the joy of your time together!
> Complete the cycle! Share goodbyes without sorrow!
> Treasure the uniqueness of your experience! Open yourself to the possibility that having learned here you may facilitate similar experiences elsewhere, equally unique.

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HANDOUT 1

Practicing Facilitative Leadership

FACILITATOR CHECKLIST

Getting a Meeting Off to a Good Start

A facilitator may wish to work from the following list of interventions in getting a group meeting started:

- ☐ Clarify for the group that the facilitator's role is to assist the group with process, not to be a content expert.
- ☐ Establish who will serve as the recorder and timekeeper.
- ☐ Determine whether the group wishes to review its ground rules or norms or to establish any new ones.
- ☐ Remind group members of any commitments or agreements they made for this meeting.
- ☐ Remind group members of any new behaviors they want to try out in this meeting.
- ☐ Summarize where the group left off in the last meeting.
- ☐ Clarify the agreed-upon purpose of this meeting.
- ☐ Help the group build an agenda for this meeting. Specifically, help it to:
  - ☐ Determine which tasks to do first.
  - ☐ Establish specific outcomes or products expected from the meeting.
  - ☐ Establish criteria for determining when expected outcomes are achieved or expected products are acceptable.
  - ☐ Clarify the group's tasks (what), and determine the processes (how) the group will use to complete the tasks.
  - ☐ Establish time frames for each task, activity, or process to ensure that the group has enough time to complete all of them.
  - ☐ Identify the other group members who can assist the group in completing the tasks.
- ☐ Check for agreement of all group members on all of the above before tackling the first agenda item.

Keeping a Meeting Going

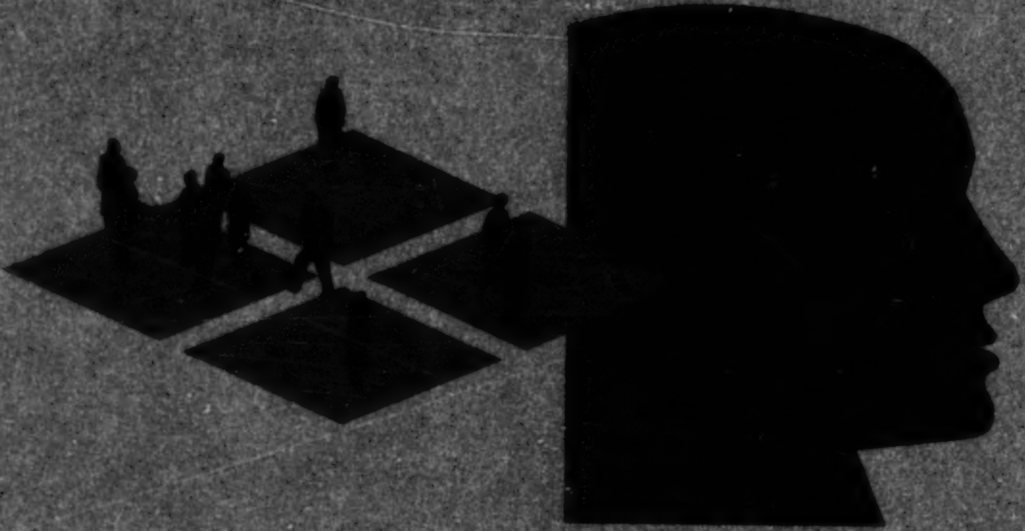
While the group is working on a task, the facilitator—and each participant in his or her facilitating role—will assist the group by intervening as needed to:

- ☐ Keep the group clear on what the task is.
- ☐ Question the relevance of discussion or contributions to reaching the outcomes the group has chosen.
- ☐ Guard the integrity of the process the group has chosen to complete its task.
- ☐ Check for agreement or disagreement.
- ☐ Summarize where the group is in terms of its agenda, tasks, or process.
- ☐ Identify changes or deviations from the group's agreed-upon agenda, tasks, or processes.
- ☐ Protect the group from domination by a few individuals.
- ☐ Call on silent members to participate.
- ☐ Protect individuals and the group from personal attacks.
- ☐ Suggest alternatives or options.
- ☐ Surface conflicts.
- ☐ Ask for process checks to determine how group members feel about what is going on at a given moment.
- ☐ Call for time-outs or breaks.
- ☐ Assist the recorder and timekeeper.
- ☐ Identify when a suggestion has been made that the group has ignored.
- ☐ Identify when a decision needs to be made.
- ☐ Identify when a decision has been made.
- ☐ Provide ongoing feedback to the group.

Committee Effectiveness Training

Guidebook

to Skill Building for Labor–Management Committees



U.S. Department of Labor
Bureau of Labor–Management Relations
and Cooperative Programs

GUIDEBOOK

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GUIDEBOOK

About Committee Effectiveness Training

What Is Committee Effectiveness Training?

When both labor and management decide to cooperate in solving problems, they often start by setting up a labor–management committee. Committees made up of representatives of both labor and management have helped to promote cooperation and find solutions to many organizational problems.

The experiences of these organizations have demonstrated, however, that a joint committee's success in accomplishing its goals depends heavily on the knowledge and skills each committee member brings to the problem-solving process. Committee members need knowledge and skills related to

- getting a job done, or the **task functions** of the group, and
- continuing to interact effectively, or the **maintenance functions** of the group.

The *Committee Effectiveness Training (CET)* series was designed to help labor–management groups of all kinds—area and industry committees, steering committees, teams, task forces, employee advisory groups, and so on—acquire the skills they need to accomplish their goals. But many of the exercises might help other kinds of groups—from office work teams to social or charitable organizations—work more effectively together.

Trial and Error vs. Training

Committee members have other jobs to do. They do not have the luxury of time to simply "happen upon" ways to get things done or to work together. Nor can many committees afford the "poor press" of not accomplishing what they set out to do.

A planned training program can give a new or struggling committee the tools it needs to self correct and to move forward. Training can alert committee members to their weaknesses in working as a group and introduce them to skills for enhancing their group work. Many exercises in this series provide practice in applying those new skills to actual committee tasks.

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What Skills Does a Committee Need?

Since most committees do not have time to waste on lockstep training, we have developed a questionnaire to assess a group's needs. The Needs Assessment Questionnaire (pages 25–28) helps to determine which specific knowledge, skills, and abilities group members most need to improve.

Statements in the Needs Assessment Questionnaire are keyed to specific training objectives in eight training modules. The trainer can thus custom design a workshop that meets the specific needs of the participants.

What Skills Does the *CET* Series Offer?

The following list reflects the range of skills training in the series:

Task Functions

Five of the modules in the series provide a total of 30 exercises designed to improve a group's task functions. Skill areas covered include:

Effective Planning

- creating a vision
- clarifying the mission
- setting goals and objectives
- agreeing on ground rules
- developing action plans and designating individual responsibilities
- establishing evaluation measures

Effective Meetings

- determining the purposes for holding a meeting
- making advance preparations
- managing meeting dynamics
- following up

Group Problem Solving

- applying a six-step model in group problem solving
- using pragmatic problem-solving tools, such as brainstorming, cause and effect analysis, Pareto analysis, and force field analysis

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Consensus Decisionmaking

- using everyone's information and viewpoint
- understanding how decisions get made in a group
- learning and applying guidelines for consensus decisionmaking
- exploring the effect of synergy on group decisions
- employing techniques to accelerate consensus

Communicating with Constituents

- keeping constituents informed of committee progress
- developing a two-way communication strategy
- interviewing to gather relevant data
- improving presentation skills
- using the media effectively

Maintenance Functions Three of the modules in the series provide a total of 20 exercises designed to improve a group's maintenance functions. Skill areas covered include:

Understanding Self and Others

- clarifying values
- using self-assessment instruments
- understanding differences in personal style

Interpersonal Skills

- giving and receiving effective feedback
- improving listening skills
- working with resistance
- managing conflict

Group Dynamics and Shared Leadership

- understanding task and maintenance roles
- assessing group effectiveness
- recognizing the stages of group development
- exploring the effects of power and competition
- practicing facilitative leadership

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GUIDEBOOK

Planning a CET Workshop

How the *CET* Series Is Organized

The *Committee Effectiveness Training (CET)* series comprises

- this guidebook, which includes a Needs Assessment Questionnaire and scoring aids, an introduction to and instructions on how to use the series, evaluation forms and suggestions on followup, and feedback forms for the trainer;
- eight training modules, one for each skill area; and
- a package of supplementary materials, including handout masters and 35mm slides.

Each of the eight skill-area modules provides the trainer with

- a general introduction, including notes on selecting appropriate exercises;
- a detailed training script for each exercise; and
- trainer copies of the handout materials that the participants will need for each exercise.

All trainer materials are three-hole punched for easy storage and custom assembly in a three-ring binder.

Designing a *CET* Workshop

Assessing a Group's Needs

CET is needs-based. The Needs Assessment Questionnaire will help identify the areas that need improvement so that you can use available training time effectively. Do not shortchange the needs assessment process.

Give a copy of the Needs Assessment Questionnaire (pages 25–28) to each member of the labor–management committee with which you are working. Follow the instructions in Scoring the Questionnaire (pages 29–30) to record responses on the Scoring Grid (page 31). The scores will indicate which of the eight training modules—and often, which specific exercises—will best address the group's training needs.

Selecting Exercises

Choose exercises based on

- the extent of the need suggested in the questionnaire results;
- the time available to conduct the training; and
- the experience, education, and sophistication of the client group.

Introductions to each training module describe the exercises in that module and list performance objectives and indicators to help you select the most appropriate exercises.

Planning Training Time

There are about 6½ productive training hours available in a day. Using 6½ hours as a reasonable measure of a day's training, choose the exercises most suited to meet the training needs. (*CET* exercises range from 20 minutes to 3½ hours long, with most running about 1 hour.)

It may help your planning to think of the training day in four blocks of time—early morning, mid-morning, early afternoon, and mid-afternoon—separated by coffee or lunch breaks. If the morning or afternoon session is scheduled to last more than 3½ hours, plan two breaks rather than one. Try to avoid running any training activity longer than 1½ hours without a break.

Pushing participants beyond 6½ hours may yield diminishing returns. Adding evening sessions to a long training day not only taxes participants but also leaves them little opportunity to reflect on their learning and to talk informally with each other.

Sequencing Exercises

To help you decide the best order for exercises in the workshop, ask:

- Is there an overall design or theme to the workshop?
- Should a particular exercise come early in the session to ensure that a basic skill is available for later use?
- Can a lecture be balanced with a participatory exercise to vary the pace? (The after-lunch slot is a low-energy period for many participants, so an experiential exercise is often used there.)
- Does a particular exercise fit in the available time slot? Though some exercises are interruptible, try not to separate an exercise and its processing out.

Preparing the Agenda

Type an agenda, noting the day, the starting time of the workshop, starting times for each exercise, and coffee and lunch breaks.

Allow time at the beginning of the workshop to

- introduce trainers and participants,
- review the workshop design and training objectives, and
- discuss and clarify participant expectations.

You may also wish to do a brief icebreaker.*

Allow time at the end of the training day for summing up and eliciting participant reactions.

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* One source of icebreaker exercises is *The Encyclopedia of Icebreakers*, ed. Sue Forbess–Greene (San Diego: University Associates, Inc., 1983).

Preparing Materials for a *CET* Workshop

Trainer's Delivery Manual

Once you have selected the component exercises for the workshop and prepared an agenda, you should prepare a trainer's delivery manual, participant folders, and handout and special materials.

The delivery manual (a three-ring binder works well) should include

- a title page,
- the agenda,
- a list of performance objectives,
- a workshop evaluation form,
- training scripts, and
- the trainer copies of all handout materials relating to the scripts to be used.

The *title page* carries the name of the workshop (e.g., Committee Effectiveness Training), the parties for whom it is being conducted, the training delivery date, and the name of the individual and the organization conducting the training.

The *agenda* lists the starting time and title of each exercise or break.

The *list of performance objectives* begins with an introductory statement, such as

> Upon completion of this workshop, participants will
> be able to . . .

followed by a compilation of the performance objectives from the exercises you plan to use in the order you will use them. Number the objectives sequentially.

The *Workshop Evaluation Form* (pages 37–38) is tailored to the workshop's objectives. Having this form in your manual will remind you to tell participants that they will be asked at the end of the training to evaluate the workshop against those objectives.

Complete your delivery manual with *copies* of the *script and handouts* for each exercise you plan to use. If you train from *copies* of the materials in your original *CET* modules, you will always have a clean original from which to reproduce materials for future sessions.

Review all scripts, handouts, and other materials thoroughly before conducting any exercise. Annotate your copies—highlighting key points, adding your own and participant examples, noting actual times, and so on—wherever it will be helpful. A *key* to the format and symbols used in the *CET* exercises begins on page 13 of this guidebook.

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Participant Folders

Distribute participant folders at the beginning of the workshop to provide a convenient way for participants to collect handout materials. Each folder should contain

- a copy of the title page from the trainer's delivery manual,
- an agenda,
- a list of performance objectives,
- a Workshop Evaluation Form, and
- any literature regarding the training organization.

Hold all other handout materials until the times indicated in the training scripts.

Handouts

Refer to the MATERIALS list at the beginning of each module for the number of copies needed of each handout. Always make extras as backups.

It may help you to keep the copies of each handout in a separate 9½"×12" manila envelope, labeled with the handout title. Some trainers duplicate each handout for a particular exercise on a different colored paper to help distinguish them.

Special Materials

Any advance preparation of flipcharts, pre-assembly of items, or special equipment or materials needed (ranging from building blocks and magazines to posterboard, scissors, and glue) are described at the beginning of the exercise.

A Note on Copyright

While you as a trainer are free to reproduce most of the materials in the *CET* guidebook and skill-area modules for your own use or as handouts for participants in your workshops, please respect the following constraints:

You may not become a publisher of any material in the *CET* series that is credited to or adapted from another source. You may train from it, reproducing items as needed for your workshops, but you may not reproduce it in quantity for other trainers to use.

You may not under any circumstance reproduce any copyrighted assessment materials such as the *Myers–Briggs Type Indicator*, the *Inquiry Mode Questionnaire*, and the *Thomas–Kilmann Conflict Mode Instrument* referenced in modules 7 and 8 of this series. Such materials must be purchased from their vendors.

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Arranging for a *CET* Workshop

Location and Equipment The requesting group has the responsibility for all of the physical arrangements. However, you as trainer should recommend:

- a workshop location away from the work site, in neutral territory, preferably in a pleasantly situated, comfortable hotel or conference center
- a room large enough to accommodate the full group at round tables (5–9 participants at each table) spaced far enough apart so that working groups are not distracted by each other
- a long table near the front of the room for your materials and another, smaller table for you to use when not presenting or circulating among working groups. (A lectern may be helpful for holding the training delivery manual, but avoid using it to present, since it distances you from the participants.)
- one or more breakout rooms (refer to the notes at the beginning of each exercise)
- enough flipchart pads and easels to ensure two for the trainer and one for each working group
- a slide projector, slide carousel, and screen (refer to exercise notes)

Insist on round tables. *CET* requires an atmosphere that supports team building. Round tables encourage interaction and equal participation. If necessary, you can use square tables, but avoid rectangular tables, which distance some participants and suggest a hierarchy (e.g., the "head" or "foot" of the table, a "right-hand man," etc.).

As soon as you complete the agenda, ask the client to confirm with the hotel or conference center the number of breakout rooms and the timing for breaks.

Scheduling Recommend that your sponsoring organization schedule the workshop at a time when every member of the group (and any alternates and incoming members) can attend all sessions of the training.

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Guidelines for Conducting a *CET* Workshop

1. Your primary role as a trainer is to *assist* the participants in *their* learning. Keep *your* comments and presentations brief and to the point. Although participants may learn some specific information from you, most of their learning will derive from their experiences in an exercise and their observations as the group "processes out" the exercise. The more time allotted to exercises, applications, and processing out—rather than to lecture and explanation—the more likely that participants will meet the performance objectives. Too much "teaching" may diminish participant discoveries and insights. (See "Game, Schmame!" on pages 15–21 for some helpful tips on processing out exercises.)
2. Model the behaviors that the workshop is designed to improve:
    - View each participant as a contributor.
    - Be a good listener.
    - Resist the temptation to control or direct.
    - Try to be responsive and helpful.
3. Be a keen observer. Though you will not be actively involved in a group's discussion, you will see many behaviors that escape the participants in the task. Thus, you can provide valuable data when the group processes an exercise.
4. Do not leave the room, carry on private conversations, or otherwise ignore the groups when they are at work. Such actions convey the message that the participants and their work are unimportant.
5. Help create and maintain a positive learning environment.

    If *an individual's behavior hinders* the learning of others in the group, take the first opportunity on a break to speak to that person privately about allowing others in the group "an opportunity to reach their own conclusions/consensus/etc." One byproduct of *CET* is that, after a few exercises, most participants will become more aware of their interactions and will begin to monitor and adjust their own behaviors and to request changes of others.

    If one or more *participants resist* a particular exercise, don't defend it, but ask questions to explore the resistance and gather constructive data to help you modify and maintain a positive learning environment. (See exercise 6 in module 7 for tips on handling resistance.)

    Also, remedy immediately any *physical annoyances* caused by temperature, lighting, noise from adjoining rooms, and so on.

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6. View the workshop as an opportunity to have fun, to discover new ideas and new possibilities, and to get to know and care about the participants and their learning.

   Your attitude toward the workshop will become the participants' attitude. Laughter and learning go hand in hand.

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TRAINER'S RESOURCE 1

Planning a CET Workshop

KEY TO EXERCISE FORMAT AND SYMBOLS

Time

The first entry in the TIME column (**column 1**) of each exercise is the total time requirement for the exercise. Estimated times for major sections of the exercise are noted throughout the script in lighter type. These estimates assume that you will be working with a group of 10–15 people. Allow some additional time for discussions and reporting out from working groups if you have more than 15 people in a workshop.

Setup

The first page of each exercise lists

❑ required materials and equipment,

✏ flipcharts that can be prepared in advance, and

any special group size and space requirements.

Exercise Format

Each major section or component of an exercise begins with a light rule, an estimated time (**column 1**), and a boldfaced section name (**column 2**).

Column 2 also contains frequent subsection labels to aid the trainer.

Several exercises offer two **options** for conducting a given section, depending on group size or experience (see, for example, pages 15–16 and page 18 of *Transforming Barriers* in module 1). These options and their estimated times are noted in column 1 and are separated by indented rules.

Symbols

Column 3 may contain any of three types of trainer cue, including:

☛ instructions to the trainer (including questions and instructions to be relayed to participants), indicated by a pointing hand

“ suggested scripts (to be read directly to participants), indicated by a pair of open quotes

✏ flipchart instructions, indicated by a pencil

A symbol appears whenever the type of trainer cue *changes*. For instance, a ☛ symbol indicates the beginning of a section of trainer instructions, which may go on for several paragraphs. The ☛ symbol will *not* repeat with each subsequent paragraph of trainer instructions. You won't see another symbol until the cue changes, as when a “ flags the start of a section that the trainer will read to the group. Likewise, you won't see “ at the beginning of each subsequent paragraph of script; instead, you'll recognize the end of the script by the appearance of a different trainer cue— ☛ or ✏.

Trainer cue symbols may be repeated, however, at the top of a new page or wherever a new column 2 topic appears, to remind the trainer what "mode" he or she is in.

Trainer's Resources and Handouts

All of the materials related to a given exercise carry the exercise title in large, bold, italic type. Trainer's resources and handouts are clearly labeled in the screened banner above the exercise title.

Trainer's resources guide the trainer in obtaining materials, preparing flipcharts, or solving example problems.

Trainer's reference copies of the **handouts** appear behind each exercise. Unpunched copies of the handouts, to be used as masters for making participant copies, are in the *Supplementary Materials* package that accompanies this series.

To help you keep related materials together, we have printed a **code** in small type in the inside margin of each page just below the center hole.

The first digit of the code indicates the module number in the *CET* series. The number after the point indicates the exercise number within the module. Trainer's resources are indicated by –tr. Handouts are identified by the handout number, for example –1. The edition date follows in parentheses. Handout page codes also carry a "1 of 3" style designation, so that the user can be sure of having all pages. Thus,

2.4–2(103190)1 of 2	indicates that the page came from module 2 (*Effective Meetings*), exercise 4, handout 2, the edition completed October 31, 1990, and that it is page 1 of a 2-page handout
6.3–tr1(103190)	indicates a page taken from module 6 (*Understanding Self and Others*), exercise 3, trainer's resource 1

TRAINER'S RESOURCE 2

Planning a CET Workshop

GAME, SCHMAME! WHAT HAVE I LEARNED?*

by Lawrence C. Porter

A good friend and colleague of mine tells this story:

> A number of years ago, when I was teaching in the public schools, I decided to try using some of these "teaching games" I'd heard about. The students loved them, and my classes were always among the most popular at the school. Then one day I heard one of my students talking to another student, who asked her what we did in my class. "Oh," my student replied, "We have a great time. We do a lot of really neat things. I don't know what we're supposed to learn, but we have a terrific time!" That's when I decided I'd better learn something about what I was doing with all these "neat" games!

In short, the extraction-of-learnings/applications segment of any structured activity is essential to—indeed, not to be separated from—the thinking of any competent trainer. Still, all too frequently inexperienced trainers will focus on the activity itself to the extent of using up all or most of their available time, leaving little or no time for deriving learnings and applications from the activity.

In the early days of my training, I **would** leave time for processing learnings and applications because I had been well taught that this was important—but I had not been well taught **how** to do this. I had no formal, conscious model for helping persons derive learnings and applications from their workshop experiences. As a result, sometimes the processing went just fine (I suppose at those times I unconsciously "did it right"), whereas at other times it went badly, rambling because it had no clear focus, directions, or outcomes. Moreover, I never knew why it went well one time and badly another.

What I lacked, of course, was a clear idea as to how people learn and a conscious, valid process based on this that produces insights, the confirmation of previous learnings, and a sense of how these can be used in participants' lives. Patience, determination, and a willingness to work hard were not enough; I needed a model, and the ability to use it.

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* Reproduced from *Training Theory and Practice*, ed. W. Brendan Reddy and Clenard C. Henderson, Jr. (Alexandria, Va., 1987), pp. 67–73, with the permission of the NTL Institute for Applied Behavioral Science. Copyright © 1987.

I now am convinced that three things are absolutely necessary if one is to use "experience" legitimately as a learning vehicle.

- The trainer must have a clear idea as to the learning objectives of the activity and be committed to those objectives.
- Enough time must be allotted for participants to derive learnings and applications from the activity.
- Participants must be conscientiously guided through a series of steps that are consistent with how most persons learn through experience.

I emphasize this in this article by using the term "structured activity" to refer to the **entire** learning process and the term "experience" to refer only to the first phase of the process. I hope that inexperienced trainers will thus be encouraged to view a "learning activity"—a structured experience, role play, or activity using an instrument—as an entire **learning cycle** rather than merely the first segment of such a cycle.

The learning cycle

Many models describe the learning process.[1] The one with which I am most familiar, and use almost exclusively in my own work, is that developed by Bill Pfeiffer and John Jones (see Pfeiffer & Jones, 1983, pp. 3-8). In the remainder of this article I refer to this model, although I change some of the terminology to employ words that I find more suitable than those employed in the original publication discussing the model.

Figure 1 on the next page illustrates this model. Following this figure, I explicate each of the steps to the model.

Phase I: Experiencing

The five-phase model commences with some kind of experience, which is intended to "generate data." This might be what is commonly called a "structured experience," a role play, or completion of an instrument (e.g., FIRO-B). Selection of the experience, of course, is determined by the learning objectives. Just what does the trainer want the participants to learn from this activity?

In establishing the timing for the entire learning activity, the trainer must assess in advance the duration and "power" of any given activity so as to ensure that participants will have sufficient time to "process" it well. No correlation necessarily exists between the amount of time required by the experiential portion of the learning cycle (Phase I) and the amount of emotional, intellectual, and or psychological energy it may generate in participants. Some brief experiences can generate high affect, as most trainers have learned during their work. The trainer must use her or his own experience to assess how much processing time will be needed, or else depend upon the experience of others.[2] One should never skimp on processing. If time is limited, it is much more effective—and responsible—either to modify the desired experience to shorten it, or to choose instead an experience that is shorter or produces a lower affect.

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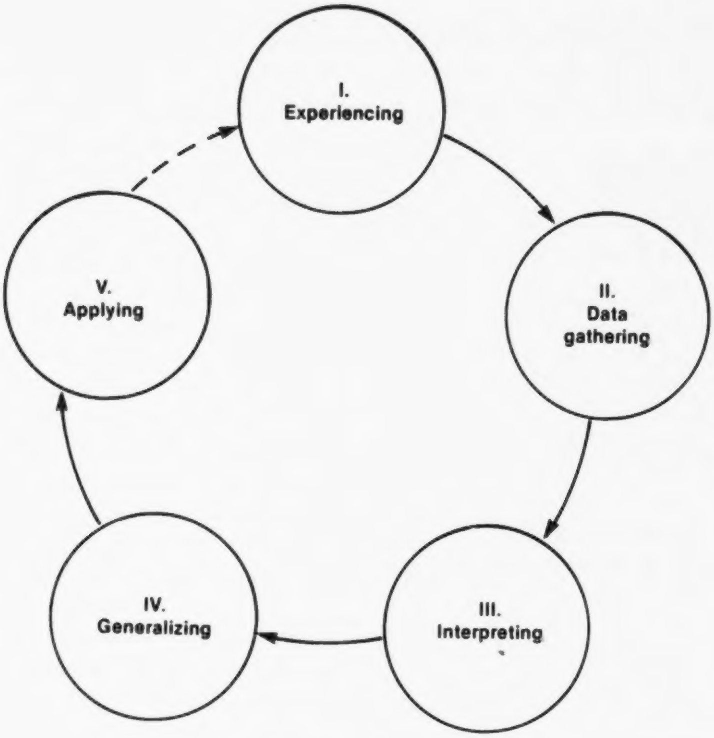

Figure 1. The learning cycle model

Phase II: Data gathering

When the experience is completed, the data-gathering phase (Phase II) begins.[3] During this phase, participants are asked to report **what happened** during that activity—and only what happened (i.e., thoughts, feelings, what persons did and said, and the like). This can be done in any way the trainer considers suitable: Persons can call out data, participants can be assigned to small groups to report data to one another and then share this with the entire group, persons can write down their "experience of the experience" and then report this, or other methods.[4] Typically, this information is recorded on newsprint on a flip chart, because it becomes the basis of what follows.

During this phase it is important to retain one's focus. If this is not done, the process may get off track, making it difficult to help participants discover learnings and applications. Remember: The intent of this phase is to get the participants to recall and report **what happened** during the learning activity, and

only this. Persons will commonly either move back to the experience and begin discussing it, or leap ahead to interpretations, learnings, and the like. When this happens the trainer must help return the participants to the matter at hand. A constant swinging back and forth among the various phases will muddy the entire learning process.

Gathering **sufficient** data is also important, for this phase provides the building block for learning. Skimpy amounts of data will make succeeding steps difficult or impossible, so gather as much as possible without running the process into the ground. Record it using your best trainer style. Make sure it is data, not interpretations. Make sure it arises from the experience, not from theories. Write down exactly what the participants say, not your own interpretations or modifications (the participants, not the trainer, should "own" the data). The data will come forth more easily if trainers don't interfere in the process by trying to make interpretations or by worrying about getting "just the right word." Play Sergeant Friday of "Dragnet"; seek "just the facts, Ma'am."

At the same time, trainers may need to help participants to ensure they provide **all** relevant data. For example, if the first two or three pieces of information are positive, with the group following this lead, the trainer may need to make a statement such as, "I see a lot of 'positive' reactions here. Were there any 'negative' ones?" In another example, the group may only provide the thoughts and feelings of individuals, and so the trainer should ask such questions as, "What did you observe happening with other persons?" The facilitator can also help shape data for the next step. For example, if the group has just experienced a "blind walk," the trainer may begin Phase II by displaying a flip chart with headings asking for four kinds of data: "sighted, negative," "sighted, positive," "unsighted, negative," and "unsighted, positive." For some other experience, the chart could solicit "what I thought," "what I felt," "what I saw and heard."

One cannot provide a complete or "correct" list of the ways trainers can obtain data.[5] The main principle is that the trainer is always free to assist participants as they provide data, but the data must always represent their **own** experience.

Phase III: Interpreting

I call the next phase (Phase III) "interpreting" because I believe this word best captures the essence of what is done during this step.[6] During this phase the trainer should intend to help participants make sense of the data reported in the preceding phase. This is an important step—for many trainers and participants the most difficult one—and probably the one most commonly not done well or even taken at all. Even though the trainer may see "latent" learnings running through the data like a thin layer of gold in a chunk of ore, he or she must resist the temptation to move directly to learnings before helping participants put the raw data into meaningful forms by perceiving patterns, sequences, trends, dynamics, or groupings.

In addition, the trainer must sometimes keep participants themselves from leaping prematurely into Phase IV, the "generalizing" phase. They should not make this move until they have as fully as possible explored and understood ("interpreted") the dynamics of the experience. The more the experience has involved participants—that is, excited them—the more impatient they may be with going through all the steps leading to learnings and applications. Therefore, ironically, the better the choice of learning experience and the more participants have been seized by it, the harder trainers may have to work to help the participants derive learnings and applications from it.

In this phase, the focus moves from what happened to how one makes sense of what happened. Examples of relevant questions include the following: "As you look at this data, what patterns do you see?" "What do you make of that?" "How can we account for that?" "What 'pops' off the page for you?" "Into what meaningful 'bins' does the data fit?" "What matches do you see?" Other questions may occur to the trainer as he or she looks at the accumulated data.

The trainer must avoid asking leading questions—that is, questions that move participants to make interpretations the **trainer** has in mind. The participants should provide **their own** meanings for the data, so that the learnings they derive will be theirs also. Trainers inhibit this if they operate from their own interpretations.

I cannot emphasize too strongly that this phase, "interpreting," provides an important bridge that takes participants away from the experience itself—thus providing a necessary change in focus—and toward the learnings and applications to be derived from it.

Phase IV: Generalizing

After the trainer has conducted the experience (Phase I), drawn out and posted (usually) participants' views of what happened (Phase II), and involved them in making sense of this data (Phase III), the time has arrived to move to Phase IV and "generalize," or draw out what participants have learned and relearned. Typically, the trainer's work becomes easier during this phase. If Phase I created a relevant, powerful experience for participants, if sufficient, valid data was gathered during Phase II, and if meaningful patterns were developed during Phase III, some generalizations will likely jump off the charts. Drawing out others may require patience and skill from the trainer.

During this phase—as a last resort—if I see some learning in the interpretated data that the participants do not, or that they see but have trouble articulating, I feel free to help them perceive this learning by speculating aloud, asking questions, or even making suggestions as to learnings not yet listed. As I do this, I recognize the risk of "ownership slippage" of the learnings, but I feel freer to act in this way than I would in an earlier phase because this step is further removed from the participants' experience. Furthermore, if I have not contaminated the data-gathering process of Phase II or the participants' perceptions' interpretations (Phase III), I am less likely to impose learnings on persons during

Phase IV. Questions trainers might ask during the generalizing step include the following: “What learnings or relearnings are there here for you?” “What here helps you make sense out of the experiences you’ve had?” “What associations do the data help you make?”

If I should find myself arguing with participants over what learnings stem from the data, then much of what appears on the flip chart is likely to be mine rather than theirs. Similarly, the data gathered during Phase II may not have been sufficient to warrant significant generalizations. Often, we erroneously consider such situations to represent “participant resistance” to learning. I emphasize firmly that each step in the learning cycle has important implications for the steps following it.

Phase V: Applications

This phase deserves as much attention as the others, but—since it comes after much hard work and is last in order, and therefore presses against to the boundary of time—this step is the one most likely to be given short shrift. This is too bad, for Phase V is generally the most significant of the phases, providing the very thing we want participants to take away from the activity: ways to **use** the learnings.

Questions to ask with respect to applications include the following: “How can you use this learning (or relearning) at home?” “Given this learning, can you name something you can start (or stop) doing next week?” “How can you build this learning into your long-range work-improvement plans? “If these learnings are important to you, how can you best hold on to them?” “How can you use this learning to make your work life (or personal life) better?”

Sometimes trainers find it useful to structure this step so as to help participants make commitments to what they will do with their learnings back home. Examples of structures include applications contracts with other participants, promises written out by the participants for themselves, and a “letter to myself” written by each participant during the program and mailed by the trainer (or a learning partner) some time after the program’s end. Whatever a trainer can think of that will make the applications phase “live” for participants will bring them payoffs.

Conclusion

I believe that “processing” learning experiences is one of the most subtle, demanding, and important “art forms” of training. Processing requires most of the skills and knowledge a trainer possesses, including those related to framing correct questions, listening carefully, persisting despite participants’ desires to move on, maintaining a focus, remaining clear about aims, and working carefully and creatively.

In my experience, processing is the single most difficult area of competence for trainers to learn. As they do learn processing, in stepwise fashion, trainers sometimes grow impatient with its seeming stilted quality, with the degree to which the "machinery" shows. Once learned, however, the model provides excellent service, for—as is true with any sound model—it enables trainers to know at any moment where they are and what must be done next. Once they have mastered it, trainers find that their awkwardness in using the model disappears and that they use it as a seamless whole rather than as a series of lurching steps. They eventually find their **own** best ways of using the model, and thus enjoy the freedom that comes with mastering any form.

NOTES

1. Albert Palmer discusses six such models, which overlap a good deal with one another (Palmer, 1981).

2. For example, one might seek help from a more experienced colleague. In addition, some books discussing learning activities give this information. University Associates' *Structured Experience Kit*, for example, rates each learning activity according to three dimensions: affect, structure, and materials (Pfeiffer & Jones, 1981).

3. The model by Pfeiffer and Jones calls this step "publishing." I prefer instead to refer to it as data gathering, as the term publishing already has a firmly entrenched, common use that differs from data gathering.

4. At each step in this process the trainer can gather needed information from the group in numerous ways. For more details on this, see "The Experiential Learning Cycle" (1985, pp. 5-8).

5. Readers should note that for each phase discussed in this article, the various examples provide more questions than the trainer will need to ask in any one workshop.

6. The model by Pfeiffer and Jones calls this step "processing." I do not wish to use this word to refer to this phase because the term is so commonly used to refer to all the phases following Phase I.

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Needs Assessment

Doing a Needs Assessment

You can tailor each *CET* workshop to the needs of the group requesting the training. The following pages contain the tools—a Needs Assessment Questionnaire, instructions for scoring the questionnaire, and a Scoring Grid—for conducting a needs assessment of the client group.

Whom To Survey

Give a copy of the 32-statement Needs Assessment Questionnaire (pages 25–28) to every management, labor, and neutral member of a labor–management committee that has expressed a desire to improve its effectiveness as a group. (The *Supplementary Materials* package contains a master copy of the questionnaire.) Since the statements on the questionnaire presuppose experience with a committee, do not give the questionnaire to those who are not yet committee members or who have attended just one meeting.

The questionnaire is designed to determine the areas in which a group may be experiencing problems and to highlight the skill-area modules and exercises in the *CET* series that can best address the most acutely felt needs. (The questionnaire is *not* designed to determine whether training *per se* is the most appropriate intervention to address perceived problems.)

Privacy

Tell respondents *why* they are being asked to complete the questionnaire and *how* it will be used. Emphasize that individual responses will be kept confidential. It is the group's aggregated responses that will determine the design of the training workshop.

Scoring Grid

Use a copy of the Scoring Grid on page 31 to collect responses to the 32 statements on the questionnaire. (The *Supplementary Materials* package contains a master copy of the Scoring Grid.) The completed grid will provide a profile of the group's training needs. Step-by-step instructions for using the grid and interpreting results appear on pages 29–30.

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HANDOUT 1

Needs Assessment

QUESTIONNAIRE

Instructions Please give your honest opinion of how your labor–management committee is currently operating by rating its characteristics on the 5-point scale below. Circle the appropriate number after each statement to represent your perception.

Please respond to all statements. Individuals' responses will be kept confidential. The group's responses, taken together, will help determine what training will be most useful.

Please check one:

☐ I represent labor.
☐ I represent management.
☐ I serve as a neutral.

	Strongly disagree ⬇	Disagree ⬇	Undecided ⬇	Agree ⬇	Strongly agree ⬇
1. The goals of our committee are clear.	1	2	3	4	5
2. When I go to a committee meeting, I am clear about the purpose and have a good idea of the topic(s) to be covered.	1	2	3	4	5
3. The committee has a well-established approach to solving problems.	1	2	3	4	5
4. When there is a difference of opinion among committee members, we seek a solution that is acceptable to everyone and do *not* vote.	1	2	3	4	5
5. We regularly report our committee's progress to all interested parties.	1	2	3	4	5
6. I understand the personal values and goals of most of the committee members.	1	2	3	4	5
7. I am comfortable sharing information about myself with other committee members.	1	2	3	4	5
8. Committee members usually work together as a team.	1	2	3	4	5

	Strongly disagree ↓	Disagree ↓	Undecided ↓	Agree ↓	Strongly agree ↓
9. I understand what is expected of me as a committee member.	1	2	3	4	5
10. Someone is designated as recorder whenever we hold a meeting.	1	2	3	4	5
11. We carefully identify and define a problem before seeking solutions.	1	2	3	4	5
12. When I disagree with a proposed course of action, I do *not* feel pressured to accept the majority viewpoint.	1	2	3	4	5
13. We regularly seek information from those who will be affected by committee decisions.	1	2	3	4	5
14. The committee members recognize the particular strengths and potential contribution of each committee member.	1	2	3	4	5
15. Our committee members give each other constructive feedback on how their behavior is affecting others.	1	2	3	4	5
16. Our committee members are concerned not only about getting the task done, but also about getting each other involved and motivated.	1	2	3	4	5

	Strongly disagree	Disagree	Undecided	Agree	Strongly agree
17. Our committee has developed ground rules on how the committee will function and how committee members will behave.	1	2	3	4	5
18. In addition to having a designated facilitator for each meeting, every member knows that he or she can intervene if needed to help keep a meeting on track.	1	2	3	4	5
19. We use the technique of brainstorming to develop as many potential solutions as we can before selecting the final solution.	1	2	3	4	5
20. We treat differences of opinion as a strength, knowing that better decisions will result from sharing different viewpoints.	1	2	3	4	5
21. Our committee conducts interviews with those it represents in order to identify, diagnose, and solve organizational problems.	1	2	3	4	5
22. The committee members understand personality differences and know how to make the best use of each other's talents.	1	2	3	4	5
23. Our committee members listen to one another, often restating another committee member's point of view to be sure it has been understood.	1	2	3	4	5
24. I feel that I have a considerable amount of influence on what takes place at a committee meeting.	1	2	3	4	5

	Strongly disagree	Disagree	Undecided	Agree	Strongly agree
25. Our committee develops implementation plans and determines appropriate criteria for evaluating the success of the plans.	1	2	3	4	5
26. When a committee meeting is over, each member is clear about who will do what.	1	2	3	4	5
27. Our committee uses effective techniques for exploring the possible causes of a problem and the driving and restraining forces that help maintain the problem.	1	2	3	4	5
28. Our committee uses effective techniques for achieving quick agreement on issues that are not important enough to require extended discussion.	1	2	3	4	5
29. Our committee members are competent to prepare and deliver whatever presentations the committee is called upon to make.	1	2	3	4	5
30. I feel that I know most of the other committee members as persons.	1	2	3	4	5
31. Committee members deal with conflict openly and honestly in an effort to resolve it.	1	2	3	4	5
32. Most of our committee members are (or would be, if given the chance) effective facilitators.	1	2	3	4	5

Needs Assessment

SCORING THE QUESTIONNAIRE

Recording the Responses

1. Use a copy of the Scoring Grid that appears on page 31. (A master copy of the Scoring Grid is included in the *Supplementary Materials* package.) The grid has eight columns of mini-grid figures. Each column represents one of the eight training modules in the *CET* series:
   - Effective Planning
   - Effective Meetings
   - Group Problem Solving
   - Consensus Decisionmaking
   - Communicating with Constituents
   - Understanding Self and Others
   - Interpersonal Skills
   - Group Dynamics and Shared Leadership
2. The number above each mini-grid on the Scoring Grid corresponds to a statement on the Needs Assessment Questionnaire.
3. Referring to the first questionnaire to be scored, write the number circled for statement #1 in the first square of mini-grid #1. Write the number circled for statement #2 in the first square of mini-grid #2. Continue recording responses in the first square of each mini-grid until all 32 responses on the first questionnaire have been recorded in their corresponding mini-grids.
4. Record the second participant's responses to each statement in the second square of the corresponding mini-grid, the third participant's responses in the third square, and so on, until all responses have been recorded.
5. Total the numbers in each mini-grid, and record the total in the triangle at the base of each mini-grid.
6. Total the numbers in the four triangles in each column, and record the column totals in the squares at the bottom of each column.
7. You may wish to differentiate among management, labor, and neutral respondents by recording their scores in different colors of ink and recording management, labor, and neutral subtotals next to the triangle containing the whole-group total.

Interpreting the Results

1. Compare the scores in the eight squares at the bottom of the scoring grid. The lower the column total, the greater the probable need for training in a particular area.
2. Compare the numbers in the 32 triangles to determine particular training needs: The lower the number, the greater the need for training related to the corresponding statement on the questionnaire.
3. If you have differentiated among management, labor, and neutral respondents, note any significant discrepancies among the three groups' scores on a particular question. Low scores on the part of any of the three may suggest training needs.
4. The introductions to each of the training modules suggest particular exercises to meet the group's general and specific training needs in the time available.

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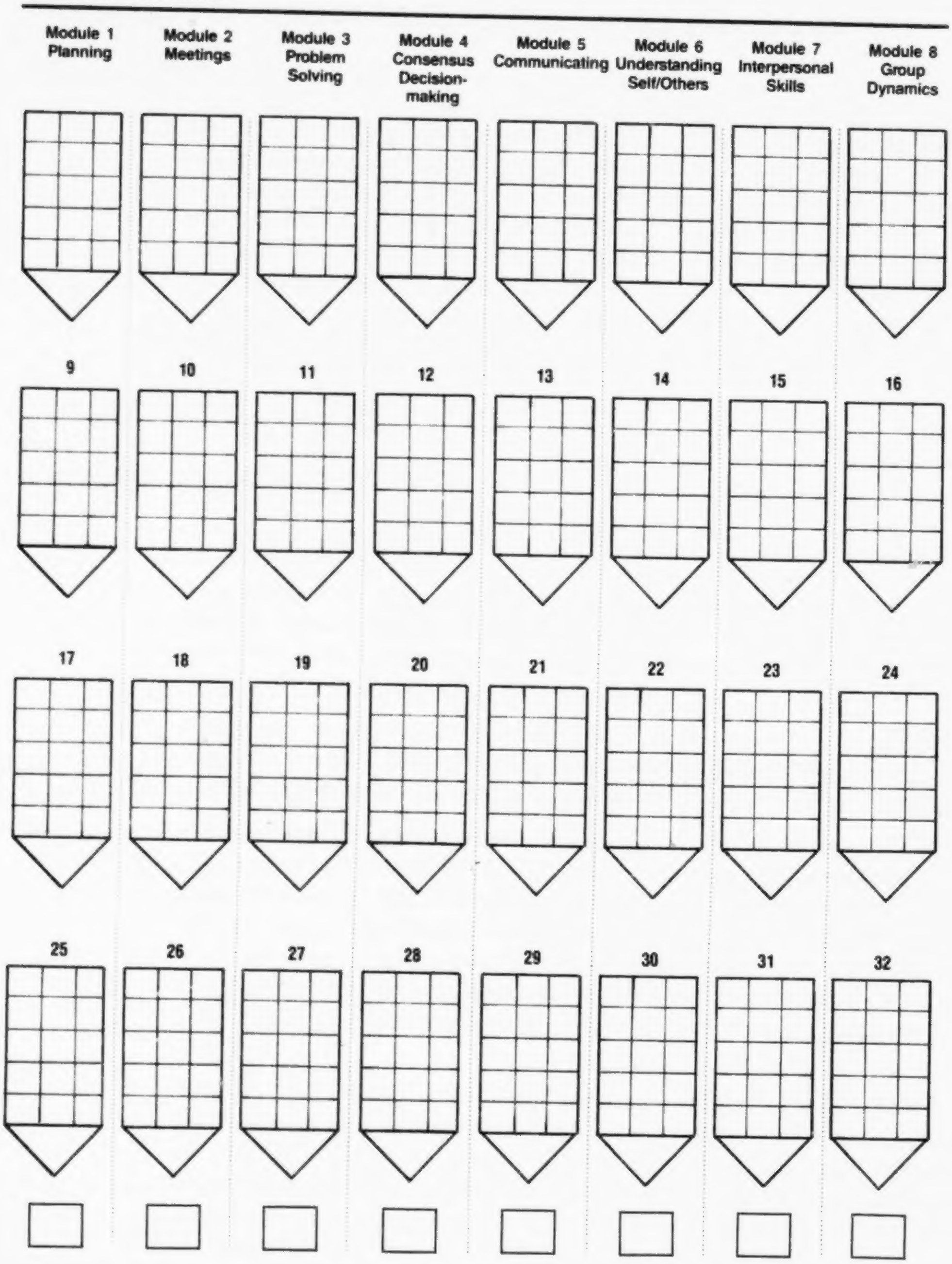
Needs Assessment

SCORING GRID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Module 2
Meetings
Module 3
Problem Solving
Module 4
Consensus Decision-making
Module 5
Communicating
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Understanding Self/Others
Module 7
Interpersonal Skills
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GUIDEBOOK

Evaluating a CET Workshop

Why Evaluate?

A *CET* workshop is an intervention in the life of an ongoing labor–management committee, an intervention intended to help the committee become more effective. An evaluation can help determine if and how well the training intervention achieved its purpose. The feedback that an evaluation provides can tell the trainer if the material and delivery worked and can suggest improvements. See Let Us Know on page 35 for information on sharing this feedback with the developers of this series.

Short-Term Evaluation

The basic tool for evaluating the training is the Workshop Evaluation Form (see pages 37–38), which permits participants to rate their understanding of up to 18 performance objectives. Only the numbers of the objectives appear on the evaluation form. Participants will have received a complete listing of the workshop performance objectives in their participant folders (see page 8).

Mask out any numbers beyond the number of performance objectives actually used. If the workshop lasts longer than a day, prepare several evaluation forms, one for each day's set of performance objectives.

Give a workshop evaluation form to each participant at the end of each day of the workshop, while the day's activities and learnings are still fresh in their minds. Ask participants to refer to the workshop performance objectives in completing the form. Have them rate the extent to which the workshop helped them meet each objective by circling the appropriate number on the form. Also encourage them to take the time to answer the two open-ended questions on the back of the form.

When you have collected all of the evaluation forms, average participants' numerical responses to each objective to give yourself an idea of what the participants felt they learned and did not learn. Responses to the open-ended questions will also provide important data to help in designing the next day's and future workshops for the particular committee as well as for other committees.

Following Up

Try a longer-term approach to evaluation, too. Immediate reactions to training do not necessarily indicate how much participants have internalized or how effectively they might apply their learning.

Contact the committee 3–6 months after the workshop. At a minimum, send each committee member a copy of the Followup Questionnaire, which is the same questionnaire, with a different title, that you used as a needs assessment tool to plan the workshop. (The *Supplementary Materials* package contains a master copy of the Followup Questionnaire.)

You may also wish to ask committee members some open-ended questions such as:

- Has your committee been more effective since the workshop? Describe briefly some examples of how the committee environment or work style has changed.
- Which concepts and tools learned in the workshop do you use regularly in your committee work?
- Did the workshop provide you with an adequate introduction to these tools? What would you have added to the workshop to better prepare you?
- Which do you not use? Why not?

If you plan to do this followup by mail, consider distributing blank envelopes or mailing labels at the end of the workshop for participants to self address. Hold these in a tickler file labeled with your planned followup date and use them to send your followup communication assessing the committee's progress. Remember to include a copy of the workshop performance objectives for reference.

Where practical, in-person or telephone interviews provide a means for you to get additional data for assessing the long-term effect of the training.

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Let Us Know

The Bureau of Labor–Management Relations expects to review the *CET* series in early 1992, after it has been in use 6–9 months. At that time, we expect to revise and reissue any pages that contain serious errors or that represent some problem to a number of trainers.

So keep us posted on your use of these materials, the reactions of those you train, examples and applications you develop that work better than those we have provided, and so on. Please direct your comments —or your request to be on the mailing list to receive any *CET* updates— to Kevin Sweeney or Kate Dorrell at

U.S. Department of Labor
BLMRCP, Room N5419
200 Constitution Avenue NW
Washington, DC 20210

Evaluating a CET Workshop

WORKSHOP EVALUATION FORM

Committee name ____________________

Date and location of workshop ____________________

Part 1 Each number in the first column below refers to one of the performance objectives for this workshop. Referring to the list of objectives provided in your participant folder, rate the *workshop's* effectiveness in helping you meet each of the stated objectives by circling the number from 1 to 4 that best describes your understanding.

1	Not met	I do not understand the concept or tool.
2	Barely met	I partially understand the concept or tool.
3	Met	I fully understand the concept or tool.
4	Exceeded	I understand and will be able to apply the learning with practice.

Objective number	Not met	Barely met	Met	Exceeded
1	1	2	3	4
2	1	2	3	4
3	1	2	3	4
4	1	2	3	4
5	1	2	3	4
6	1	2	3	4
7	1	2	3	4
8	1	2	3	4
9	1	2	3	4
10	1	2	3	4
11	1	2	3	4
12	1	2	3	4
13	1	2	3	4
14	1	2	3	4
15	1	2	3	4
16	1	2	3	4
17	1	2	3	4
18	1	2	3	4

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Part 2 Please comment on the parts of the workshop you found most useful.

Part 3 Please comment on the parts of the workshop you found least useful. Can you suggest alternatives?

Your name and phone number are not necessary but would help us to follow up with you on ways to improve this workshop. ______________________________

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GUIDEBOOK

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The following pages provide an index to the *CET* series **by title** (or partial title) of exercise or handout.

The first digit of the location is the module number; the second is the exercise number. A dash followed by a number indicates a handout; "tr" indicates a Trainer's Resource. The location corresponds to the code that runs up the inside margin of each *CET* page.

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Module 1

Effective Planning

U.S. Department of Labor
Bureau of Labor–Management Relations
and Cooperative Programs

EFFECTIVE PLANNING

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Introduction

This module in the *Committee Effectiveness Training (CET)* series contains eight exercises designed to provide group members with the skills and knowledge they need to become effective planners.

Please refer to the *Guidebook for the Trainer* for general information on the *CET* series, on doing a needs assessment, and on designing a workshop.

To help you select exercises to meet the needs of workshop participants, see the sections called General Considerations for the Trainer, Recommendations for Selecting Exercises, and Exercise Summaries in the pages that follow.

GENERAL CONSIDERATIONS FOR THE TRAINER

In developing a workshop to improve a group's ability to plan effectively, the trainer will consider several questions:

- What kind of group is it? An area or industry committee? A steering or planning committee? A problem-solving team or task force?
- How much time is available to deliver the workshop? Will there be more time in the near future to deliver additional components of the *Committee Effectiveness Training* series?
- Does the response to statement **1**, **9**, **17**, or **25** on the Needs Assessment Questionnaire indicate an acute need for a particular exercise? (See the **Indicator** listed under each exercise summary.)
- Do any of the indicated exercises have prerequisites which the group should meet first?

RECOMMENDATIONS FOR SELECTING EXERCISES

With the group's needs and constraints in mind, the trainer should also consider the following recommendations when choosing exercises:

- If the group's major function is to bring about **wide-scale change** in an area, industry, or organization or to plan or oversee the change efforts of others, use both *A Vision of the Future* and *Transforming Barriers into Objectives.*
- If the group's primary function is to solve **more narrowly defined problems**, use *Consensus on Group Priorities.*
- Use *Establishing Ground Rules* for a new group or for one in which **discussion of procedures** takes up more time than discussion of issues.
- For a new group, or any group that **lacks a track record** in accomplishing tasks, two exercises provide training options in implementation planning. *Implementation Planning* uses action planning steps and basic terms comfortable for beginning planners. *Robbery: Planning with PERT* teaches a more sophisticated planning tool that helps a group to visualize its plan and encourages evaluation while the task is under way.
- For a group that has a **planning or oversight** function, or for any group concerned with following through on critical tasks or monitoring its effectiveness, *Evaluation Planning* teaches three essential steps.
- For any group in which **work is not evenly distributed,** *A Skills Inventory* encourages matching the skills of group members with task requirements.

EXERCISE SUMMARIES

1 *A Vision of the Future*, 120 minutes

Description Participants use a collage activity to tap their "right brain" in reflecting on the present state of their organization and envisioning a desired future state.

Performance objectives To describe the current state of the organization that the group was formed to serve and

To articulate a vision of what the organization could become.

Indicator A low score on question 1 on the Needs Assessment Questionnaire.

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2 *Transforming Barriers into Objectives*, 120–180 minutes, depending on group size

Description Participants use brainstorming and consensus to identify the barriers that their organization must surmount to achieve a desired future state. They reformulate the five most serious barriers into key goals and objectives. Larger groups learn a process for reaching consensus across several smaller groups.

Prerequisite: This exercise should follow *A Vision of the Future.* The group will also have had some experience with brainstorming and consensus.

Performance objective To formulate key goals and objectives for the group.

Indicator A low score on question 1 on the Needs Assessment Questionnaire.

3 ***Consensus on Group Priorities***, 60–90 minutes, depending on group size

Description	Participants reach agreement on the key actions needed for the group to achieve its purpose. Larger groups learn a process for reaching consensus across several smaller groups. *Prerequisite:* The group will have had some experience with consensus—*Basic Consensus* at a minimum or, preferably, a consensus-building exercise such as *Lost at Sea* (both in *CET* module 4, *Consensus Decisionmaking*).
Performance objective	To list in priority order the five actions most important to achieving the group's mission.
Indicator	A low score on question 1 on the Needs Assessment Questionnaire.

4 ***A Skills Inventory***, 45 minutes

Description	Participants identify the skills needed to perform three key objectives or actions and take an inventory of those skills among group members. *Prerequisite:* The group will have developed key objectives or actions. Either *Transforming Barriers into Objectives* or *Consensus on Group Priorities* can be used to develop group objectives.
Performance objectives	To identify the skills needed to accomplish key actions and To make a record of the skills available in the group.
Indicator	A low score on question 9 on the Needs Assessment Questionnaire.

5 *Establishing Ground Rules*, 85–170 minutes, depending on group size and experience

Description	Participants use brainstorming and consensus to develop the ground rules that will govern their behavior as group members. Larger groups learn a process for reaching consensus across several smaller groups. *Prerequisite:* The group will have had some experience with brainstorming and consensus.
Performance objective	To list the ground rules that will govern behavior in the group.
Indicator	A low score on question 17 on the Needs Assessment Questionnaire.

6 *Implementation Planning*, 90 minutes

Description	Participants develop implementation plans by asking the traditional questions: who, what, when, where, why, and how. *Prerequisite:* The group will have developed key objectives or actions.
Performance objective	To write an implementation plan for a key objective or action.
Indicator	A low score on question 25 on the Needs Assessment Questionnaire.

7 *Robbery: Planning with PERT*, 90 minutes

Description	Participants use a graphic analysis tool, the Program Evaluation and Review Technique (PERT), to plan a project.
Performance objectives	To draw a PERT chart and To describe the benefits of using PERT.
Indicator	A low score on question 25 on the Needs Assessment Questionnaire.

8 *Evaluation Planning*, 60 minutes

Description	Participants learn three steps to evaluation planning through a brief introductory lecture. They use the steps to develop a plan and appropriate criteria for evaluating the group's success in meeting one of its objectives. *Prerequisite:* The group will have developed key objectives or actions.
Performance objective	To write an evaluation plan for a key group objective.
Indicator	A low score on question 25 on the Needs Assessment Questionnaire.

EFFECTIVE PLANNING 1

A Vision of the Future

Description	Participants use a collage activity to tap their "right brain" in reflecting on the present state of their organization and envisioning a desired future state.
Performance objectives	To describe the current state of the organization that the group was formed to serve and To articulate a vision of what the organization could become.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
120 minutes total	Materials	For each working group of 5–9 people: ☐ two large posterboards, approximately 2½′ × 3½′ ☐ two dozen popular magazines ☐ 4–6 pairs of scissors ☐ 4–6 glue sticks ☐ several rolls of cellophane tape ☐ 6 marking pens, different colors
	Flipcharts	The trainer may wish to prepare suggested flipcharts before the workshop session. Flipcharts are indicated by the ✏ symbol.
5 minutes	**Introduction to left- and right-brain activity**	☛ Introduce the exercise by highlighting the following points: “ The objectives of this exercise are - to describe the present state of your organization and - to articulate the desired future state of your organization. You've probably thought and talked about the state of the organization many times before now, so often that everyone probably has a "pet phrase" to describe it. In other words, your thinking probably runs along the same track every time. And your ideas about the future of the organization are likely to be an extension of that same track.

☛ Tell participants that today they will have a chance to break out of a rut by taking advantage of **both** hemispheres of the brain, the left brain and the right brain.

Make the following points in explaining the differences between left and right brain activity.

✏ You may wish to record the boldfaced points below on a flipchart.

Reason is left-brain activity

“ The left brain is the hemisphere that most of us were schooled to use. **Reason** is a **left**-brain activity. It

- operates in a **logical** sequence,
- primarily involves an analysis of **discrete elements** that are linked in order, and
- arrives at truth by proceeding **linearly**, from one element to another.

Creativity is right-brain activity

“ The **right** hemisphere of the brain is the center of **creativity**. **Intuition** is a right-brain activity. It

- operates **simultaneously** and holistically (seeing the whole, the "big picture," rather than focusing on one or a few parts or details),
- arrives at conclusions by making **jumps**, without proceeding through steps, and
- is concerned with the **relationships** among individual elements.

Rational thinking is more of a **verbal** process while intuition is more of a **visual** process.

Understanding and creativity

“ Your chances for a deeper understanding of your organization and a more creative approach to its future will be greater if you can tap your group members' right-brain activity as well as their more familiar left-brain reasoning.

Both ways of thinking are necessary to make full use of group brain power and achieve a deeper understanding of reality.

25 minutes	**Group collage of the present state**	☛ Tell participants that, to tap their intuition as well as their more rational thinking, they will be using a group collage technique to reflect on and express their current experiences of the organization their group was formed to serve. Divide participants into working groups of 5–9 people. The working groups will have 20 minutes to create collages that reflect how they experience the current state of their workplace. Ask that they skim magazines for pictures, symbols, phrases, and words that "speak" to them about their experience of the organization. They may also use marking pens to draw additional pictures or symbols or write additional phrases or words.
	Group expression	☛ Remind the groups that the collage is a group expression rather than a separate individual expression. Ask participants to try to build on the pictures and phrases contributed by other members of their working group. Remind them to focus on here-and-now experience as opposed to desired experience.
	Starting collages	☛ Place one large posterboard in the center of each table to encourage maximum interaction, and ask the working groups to begin.
15 minutes	**Collage analysis**	☛ When the collages are complete, ask the working groups to spend 15 minutes analyzing their collages and discussing the meanings behind each group member's contribution.
15 minutes	Report out	☛ Ask for a volunteer from each working group to present the group's collage to the larger group and to summarize some of the meanings behind the images and words.

25 minutes	**Group collage of the desired future state**	☛ Distribute another posterboard to each working group. Ask the working groups to reflect for a few minutes on what their organization would be like if their workplace group were to be 100% successful. Ask them to try to *experience* that future-state organization and to relish the positive characteristics that distinguish it from other organizations. Ask that each working group take 20 minutes to create a new collage that reflects the desired future state of the organization as it has been transformed by the efforts of the workplace group. If there are pictures, symbols, phrases, or words from the present-state collage that group members want to use as descriptors of the future state, they may transfer them to the new posterboard. They are then to skim magazines for additional pictures, symbols, phrases, and words that "speak" to them about the desired future state of the organization.
15 minutes	**Collage analysis**	☛ Ask the working groups to spend 15 minutes analyzing and discussing the meanings behind each group member's contribution to the completed collage.
15 minutes	Report out	☛ Ask for a volunteer from each working group to present the group's collage to the larger group and to summarize some of the meanings behind the images and words.

5 minutes	**Conclusion: Importance of vision**	☛ Post all of the "present state" collages on one wall and all of the "visionary" collages on another. Ask participants why their organization is "here" (indicate the "present state" collages) rather than "there" (indicate the future-state collages), since "there" represents the *collective* vision of all the participants. Note that leaders are driven by vision. To the extent that the group holds on to its collective vision, it will demonstrate the leadership necessary to bring the organization closer to the desired state.

EFFECTIVE PLANNING 2

Transforming Barriers into Objectives

Description Participants use brainstorming and consensus to identify the barriers that their organization must surmount to achieve a desired future state. They reformulate the five most serious barriers into key goals and objectives. Larger groups learn a process for reaching consensus across several smaller groups.

Prerequisite: This exercise should follow *A Vision of the Future*. The group will have had experience with brainstorming and consensus.

Performance objective To formulate key goals and objectives for the group.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
120–180 minutes total*	Materials	For each working group of 5–9 people, ☐ a flipchart and markers
	Flipcharts	The trainer may wish to prepare two of the suggested flipcharts, indicated by the ✏ symbol, before the workshop session.
30 minutes	**Barriers to reaching the desired future state**	☛ Ask participants to reflect for 5 minutes on the vision of a desired future for their organization, which they expressed earlier in their group collages. When they have had 5 minutes to reflect, tell them that, to begin the process that will carry them toward their desired future state, they will be developing goals and objectives that will determine the direction their group will take. One useful way to identify these goals and objectives is to examine the present barriers preventing the organization from being what they want it to be. Tell participants that they will be using the technique of brainstorming to identify all of the barriers to reaching that desired future. They will then select several barriers to transform into goals and steps toward those goals.

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* This exercise requires 120 minutes when done with a small group of 5–9 participants. It will require an additional 60 minutes if 10 or more participants are involved, to allow time for multigroup consensus activities.

Reviewing rules for brainstorming

✏ Copy the following guidelines for brainstorming on a flipchart for reference and review them with the group.

- Don't critique ideas.
- Use freewheeling imagination.
- Build on others' ideas.
- Aim for quantity.
- Record each idea exactly as offered.

Brainstorming session

☛ If there are 10 or more participants in the workshop, divide participants into working groups of 5–9 people. Tell them that they have 20 minutes to brainstorm on the question

> *What are the barriers*
> *that prevent your organization*
> *from being what you have envisioned?*

Trainer's options for next steps

☛ Following their brainstorming, participants will complete three more steps in this exercise: consensus on key barriers, transforming barriers into goals and objectives, and evaluating objectives.

In conducting the consensus and transforming steps, the trainer will select either option 1 or option 2, depending upon whether the group is small enough (5–9 people) to work as one group or so large (more than 10) that it needs to be divided into two or more groups.

Consensus on key barriers

☛ Tell participants that, to begin to overcome barriers, their group must focus on those that are the most serious. The working groups will have 25 minutes to reach consensus on

- the five most important barriers to achieving the organization's desired future state and
- the seriousness of those barriers, ranked from 1 to 5, that is, from most to least serious.

Reviewing guidelines for consensus

✏ Copy Guidelines for Reaching Consensus (Trainer's Resource 1, page 25) to a flipchart and review them with the group. Note that the guideline,

> *Create a solution that can be supported,*

is especially important to their consensus on key barriers and on the relative seriousness of those barriers. Reservations about the group's priorities may reduce a group member's enthusiasm and effectiveness.

Option 1: 35 minutes for one working group

Single group consensus on key barriers

☛ Ask the group to begin on the consensus task described above. Ask them to record their five priority barriers on flipchart paper.

Report out

☛ When the group has completed its tasks (allow 25 minutes), ask for comments and observations on the process of reaching consensus as well as on its content.

Then go on to "Overview of transforming barriers into objectives" on page 17.

Option 2: 65 minutes for two or more groups

Multigroup consensus on key barriers

☛ Ask the groups to begin the "consensus on key barriers" task described on the preceding page (allow 25 minutes). Ask them to record their five priority barriers on flipchart paper.

Small-group priorities

☛ Have a spokesperson from each working group present the group's priorities to the large group.

Forming a new group

☛ Ask each group for one or more volunteers to compose a new group no larger than six. This new group will sit in a circle or around a table in the middle of the room. All others will sit behind and around the new group to act as observers.

Purpose of the new group

☛ The new group's task is to reach consensus—working from the barriers and rankings on the working group lists—on the overall group's five most important barriers and the ranking of those barriers from 1 to 5, or from most to least serious. (Post the working group flipcharts together in view of the new group.)

Observer role

☛ Place an empty chair at the table or in the circle of chairs occupied by members of the new group. Any group member may occupy the empty chair anytime to ask a question or comment on the content of the discussion or the process by which consensus is being reached, being careful not to interrupt someone in the middle of a thought. Once the observer has commented, he or she must immediately vacate the observer's chair.

Consensus task

☛ Allow 25 minutes for the new group to reach consensus.

Report out

☛ Allow 15 minutes for comments from observers and group members on the content of the consensus and the process used.

Ask that participants commit to the priorities resulting from today's consensus process. It may help them to keep in mind that this group decision, like any other, can be reviewed if further group discussion or the start of activity reveal still other barriers or suggest a different order of attack.

15 minutes

Overview of transforming barriers into objectives

☛ Introduce the process of transforming barriers as follows:

“ Each of the five barriers that the group has agreed on can be analyzed and reformulated into a goal and several objectives that will ensure that each barrier is eliminated.

Definitions of goal and objective

✏ Record the following definitions on a flipchart and review them with the group.

“ A **goal** is a desired end state.

An **objective** is a specific outcome contributing to achieving a desired end state. An objective must be

- achievable within a specific time frame,
- specific,
- concrete, and
- measurable.

Example

“ If the barrier is described as

a lack of credibility for our group among our constituents

the goal, or desired end state might be

Our group's credibility is high among our constituents.

Objectives contributing to that end state or goal might include:

To survey our constituents within the next 2 months to discover their key concerns. To share survey results with them.

To select from the survey results five key issues affecting constituents which can be resolved over the next 15 months. To develop a plan for accomplishing each of these resolutions and for communicating progress on each to constituents.

To resolve each of these five issues within the next 15 months, communicating accomplishments immediately to constituents.

Option 1:
25 minutes
for one
working
group

Reformulating barriers

☛ Allow the group 25 minutes to reformulate the five key barriers into five goals and several objectives under each goal.

Then go on to "Evaluating key objectives" on the next page.

Option 2:
55 minutes
for two or
more groups

Reformulating barriers

☛ Allow the working groups 25 minutes to reformulate the five key barriers into five goals and several objectives under each goal. Have the groups record each goal and its objectives on a separate flipchart page.

Combining objectives

☛ When the working groups have completed their task, have the groups post their "reformulations" of the first barrier together on one wall.

With participant input, combine the elements of each working group's formulation of the goal and objectives into a single goal and supporting objectives.

Do the same for each of the other four barriers.

15 minutes

Evaluating goals and objectives

☛ Ask participants to reflect on the final formulations of their goals:

> *Will achieving these five goals bring about your vision of a desired future state for the organization?*

Then ask them to evaluate their objectives. Are the objectives

- achievable within a specific time frame?
- specific?
- concrete?
- measurable?

Finally, ask participants

> *Which of these many objectives are you willing and able to make as top priority commitments?*

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EFFECTIVE PLANNING 3

Consensus on Group Priorities

Description Participants reach agreement on the key actions needed for the group to achieve its purpose. Larger groups learn a process for reaching consensus across several smaller groups.

Prerequisite: The group will have had some experience with consensus.[*]

Performance objective To list in priority order the five actions most important to achieving the group's mission.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
60–90 minutes total[†]	Materials	For each working group of 5–9 people, ☐ a flipchart and markers
	Flipchart	The trainer may wish to prepare the suggested flipchart, indicated by the ✏ symbol, before the workshop session.
20 minutes	**Generating proposed actions**	☛ Ask group members to reflect individually for 10 minutes on the purpose for which their workplace group was established (its mission) and then to write (still working individually) their answers to *What are the three most important actions this group needs to take in order to accomplish its purpose?* Record each participant's three actions on a flipchart. Do not repeat actions already recorded.

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[*] *Basic Consensus* is recommended. *Lost at Sea* provides practice in reaching consensus as well as a graphic demonstration of its synergistic benefits. Both exercises are in *CET* module 4, *Consensus Decisionmaking*.

[†] For a group of 5–9 participants, allow 60 minutes. For a group of 10 or more, subdivide into groups of 5–9 people and allow 30 additional minutes, or a session total of 90 minutes, for the multigroup consensus process.

Reviewing guidelines for consensus

☛ Tell participants that they will be using consensus techniques to select five key actions and to determine their priorities.

✏ Copy Guidelines for Reaching Consensus (Trainer's Resource 1, page 25) to a flipchart and review them with the group. Note that the guideline,

Create a solution that can be supported,

is especially important to their consensus on group priorities.

Trainer's options for consensus step

☛ There are two options for conducting the consensus portion of this exercise. Use option 1 if the group is small enough (5–9 people) to work as one group. If the group has 10 or more people, divide the group into two or more groups of 5–9 people and use option 2.

Consensus on group priorities

☛ Ask the working group or groups to consider:

Which five of these recorded actions are most important?

What priorities should be assigned to each of the five most important actions?

Have each working group record its five priority actions on flipchart paper.

Option 1: 40 minutes for one working group

Single group consensus on key actions

☛ Allow 30 minutes for the group to reach consensus.

Processing out

☛ Ask the group members for their comments and observations on

- their five priority actions and
- the process by which consensus was reached.

Ask the participants whether they agree with and will support the five actions and the priorities that have been developed in this consensus process.

Option 2:
70 minutes
for two or
more groups

Multigroup consensus on key actions

☛ Allow 30 minutes for the working groups to reach consensus on five priority actions. Have each group record its five priority actions in the consensus order on a flipchart.

Working group priorities

☛ Ask each working group to select a spokesperson to present its priorities. Post the groups' flipcharts together where they can be seen by all.

Forming a new group

☛ Ask each working group for one or more volunteers to compose a new working group no larger than six. The new group is to reach consensus on the five most important actions, in priority order, that the larger group needs to take if it is to achieve its purpose.

The new working group will consider all of the items and priorities on the original working group lists in reaching consensus.

The group will sit in a circle or around a table in the middle of the room. The rest of the participants will sit behind and around the new group as observers.

Observer role

☛ Place an empty chair at the table or in the circle of chairs occupied by members of the new group.

Any group member may occupy the empty chair at any time to ask a question or comment on content or process, being careful not to interrupt someone in the middle of a thought. Once the observer has commented, he or she must immediately vacate the observer's chair.

Processing out

☛ When the new group reaches consensus, ask for observations and comments from observers and group members on the content of the consensus as well as the process used.

Finally, ask both group members and observers if they agree with and will support the five actions designated as priorities in this consensus process.

TRAINER'S RESOURCE 1

Consensus on Group Priorities

GUIDELINES FOR REACHING CONSENSUS*

1. Listen: Pay attention to others.
2. Encourage participation.
3. Share information.
4. Don't agree too quickly.
5. Don't bargain or trade support.
6. Don't vote.
7. Treat differences as a strength.
8. Create a solution that can be supported.
9. Avoid arguing blindly for your own views.
10. Seek a win–win solution.

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* These guidelines are explained fully in the exercise, *Basic Consensus*, in *CET* module 4, *Consensus Decisionmaking*.

EFFECTIVE PLANNING 4

A Skills Inventory

Description	Participants identify the skills needed to perform key objectives or actions and take an inventory of those skills among group members. *Prerequisite:* The group will have developed key objectives or actions.*
Performance objectives	To identify the skills needed to accomplish key objectives or actions and To make a record of skills available in the group.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
45 minutes total	Materials	For each working group of 4–5 people, ☐ a flipchart and markers
25 minutes	**Identifying needed skills**	☛ You may wish to introduce the inventory as follows: “ Nothing undermines a group effort faster or demoralizes a group more than undertaking a project that cannot be completed. By taking a skills inventory before the project starts, the group identifies its resource needs clearly and early enough to adjust priorities, budgets, commitments, and goals if necessary. Matching the group's needs with the skills of its members encourages everyone's participation and development.

more ➪

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* Either *Transforming Barriers into Objectives* (pp. 13–19) or *Consensus on Group Priorities* (pp. 21–23) can be used to develop key group objectives or actions.

Example

☛You may wish to give a humorous example of a skills inventory, like the one created by a gang of jewel thieves:

Objective: To remove a large sum of money from a bank account other than our own, without getting caught.

Skills needed:

- ability to analyze a situation (the stake out person)
- ability to develop strategies and tactics (the mastermind)
- communications skills (the radio operator)
- ability to provide data on forces of law (the lookout)
- ability to carry equipment and deal with interruptions (the heavy or heavies)
- ability to gain entry to a safe or vault (the safecracker)
- driving skills to expedite departure (the getaway driver)

Listing skills needed for key actions

☛Have the group divide into working groups of 4–5 members. Ask the groups each to select two or three of the key objectives or actions developed earlier and to list on flipchart paper their answers to the question,

> *What skills will be needed to perform each of these key objectives or actions?*

Report on skills needed

☛After 15 minutes, post the lists of skills and have a representative from each working group review the group's list.

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20 minutes	**Inventorying group members' skills**	☛ In the large group, ask participants to ask themselves *What skills do I have that might contribute to each objective?* *Which skills am I willing to contribute to get the job done?* As individuals volunteer their skills, record each name next to the needed skill on the flipchart lists. More than one person may volunteer for each skill.
	Novice volunteers	☛ Some members may wish to learn a particular skill by helping the group; their names should also be recorded.
	No volunteers	☛ If no one volunteers for a particular skill, ask the group where they might get that skill. By using a consultant or other outside expert? Don't force someone to volunteer simply because he or she has volunteered the specific skill for an earlier task.
	Using the inventory	☛ Tell the group to keep the lists as "official group business." If the group will be doing either *Implementation Planning* or *Robbery: Planning with PERT* later in the workshop, tell the group that they will need the lists to complete their implementation plans in that later session.

EFFECTIVE PLANNING 5

Establishing Ground Rules

Description Participants use brainstorming and consensus to develop the ground rules that will govern their behavior as group members. Larger groups learn a process for reaching consensus across several smaller groups.

Prerequisite: While not required, prior completion of either *My Experience with Groups* or *Positive Group Behaviors Identified* (both from *CET* module 8, *Group Dynamics and Shared Leadership*) will reduce the time needed to complete this exercise.* The group will have had some experience with brainstorming and consensus.

Performance objective To list the ground rules that will govern behavior in the group.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
85–170 minutes total*	Materials	For each working group of 5–9 persons, ☐ a flipchart and markers
	Flipcharts	The trainer may wish to prepare some of the suggested flipcharts, indicated by the ✏symbol, before the workshop session.
10 minutes	**Why a group needs ground rules**	☛ Introduce the subject of ground rules using the following suggested points: “ In most labor–management groups, **process** is as important as **content**. That is, **how** things get done and how people **interact** are as important as **what** gets done. Effective groups find that ground rules help them to improve their group interaction, the process, the "how" of group work. No builder would consider building a house without a blueprint, nor would a manufacturer invest resources in developing a product without a carefully designed plan. Similarly, a group would be ill-advised to take on any project without developing a project plan.

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* For a group of 5–9 participants who have previously brainstormed worst/best groups, 85 minutes. For two or more such groups, 125 minutes.

For a group of 5–9 participants who will need to brainstorm worst/best groups, 110 minutes. For two or more such groups, 170 minutes.

“ In all three examples, tasks must be performed, and a plan helps to ensure that the tasks are accomplished as intended.

Ground rules are "assurances"

“ But what assurances do we have that the group of people involved in accomplishing a task will be committed to doing a good job, will find the effort rewarding, and will work effectively with one another to ensure maximum quality? The assurances of effective *process* come from knowing that the group has developed and is committed to basic rules governing member behavior.

What ground rules cover

“ Just as a plan directs and governs the way a task gets done, ground rules direct and govern how group members

- treat one another,
- manage conflict, and
- solve problems and make decisions.

Leaving group member behaviors up to chance is like leaving task completion up to chance: It is likely to provide disappointing results.

Developing ground rules on how a group "maintains" itself as an effective team is every bit as important as developing a plan on how to accomplish desired objectives. The quality of group outcomes is strongly influenced by the quality of the group interaction. Ground rules will help ensure effective group interaction.

Trainer's options for next steps

☛ If the group has used *My Experience with Groups* or *Positive Group Behaviors Identified,* skip to "Developing proposed ground rules" on page 34. Otherwise, complete the abbreviated "worst/best" exercise on the facing page.

Each of the next 3 pages presents an option to use with a small group of 5–9 people and one to use with a larger group (divisable into two or more groups of 5–9 people). On each of these 3 pages, an introduction appying to any size group is followed by the small group and large group options, each clearly labeled.

This page contains an abbreviated "worst/best groups" exercise.

	Brainstorming "worst" groups	☛ Ask the group to spend 15 minutes brainstorming a list of behaviors that have characterized the worst committees or groups of which they have been a part.
Option 1: 15 minutes for one working group	**Single group brainstorming**	☛ Allow 15 minutes for the group to brainstorm "worst groups."
Option 2: 25 minutes for more than one working group	**Multigroup brainstorming**	☛ Allow 15 minutes for the small groups to brainstorm "worst groups."
	Report out	☛ Ask for a spokesperson from each group to summarize briefly the kinds of negative behaviors the group identified.
	Brainstorming "best" groups	☛ Ask the group to take 10 minutes to brainstorm a list of behaviors that have characterized the best committees or groups of which they have been a part.
Option 1: 10 minutes for one working group	**Single group brainstorming**	☛ Allow 10 minutes for the group to brainstorm "best groups."
Option 2: 20 minutes for more than one group	**Multigroup brainstorming**	☛ Allow 10 minutes for the small groups to brainstorm "best groups."
	Report out	Ask for a spokesperson from each group to summarize briefly the kinds of positive behaviors the group identified.

Developing proposed ground rules

☛ Ask the group to propose a list of ground rules that could help ensure that group interaction would have the following characteristics:

- Group members treat each other with respect.
- Different points of view do not lead to alienation but rather enhance the quality of group decisions.
- Each group member feels engaged in the solution of problems.
- Each group member feels comfortable with and committed to the group decision.
- Each member finds working with the group productive and rewarding.

✏ You may wish to record the characteristics above on a flipchart for reference.

☛ Tell the group that reaching consensus on a definitive list of ground rules will be a later step, but for now, they are to explore and discuss all of the suggestions group members offer.

Option 1: 35 minutes for one working group

Single group proposals

☛ Allow the group 35 minutes to develop a list of proposed ground rules.

When the group has developed its list, go on to "Consensus on ground rules" at the top of the next page.

Option 2: 45 minutes for more than one group

Multigroup proposals

☛ Allow the groups 35 minutes to develop their lists of proposed ground rules.

Developing a common list of proposed rules

☛ Post all of the working group lists side by side.

Ask the full group to identify those ground rules that appear on more than one list. Record on a flipchart a generic formulation of each ground rule appearing on more than one list. Cross out the original formulation on the original lists.

Then copy the remaining ground rules on the flipchart.

Consensus on ground rules

☛ Ask the groups to spend 30 minutes reaching a consensus on which of the proposed ground rules to adopt to govern group behavior.

Three guidelines will help the working groups to reach consensus:

- A ground rule is useful only if individual members commit to abide by it.
- Too many ground rules can be cumbersome.
- Ground rules can be modified at a later time, by consensus, and new ground rules can be added at any time, by consensus.

✏ You may wish to copy these points to a flipchart for reference.

Option 1: 30 minutes for one working group

Single group consensus

☛ Allow 30 minutes for the group to reach consensus on its chosen ground rules.

When the group has reached consensus, go on to "Conclusion" on page 37.

Option 2: 60 minutes for more than one group

Multigroup consensus

☛ Allow 30 minutes for the small groups to reach consensus on their chosen ground rules.

Forming a new group

☛ Ask each working group to select one or more representatives to compose a new group of no more than six members.

Working from the lists of proposed ground rules from all of the working groups, the new group will reach consensus on a set of ground rules to govern the behaviors of all members of the total group.

The new group will sit in a circle or around a table in the middle of the room. The rest of the participants will sit behind and around the new group as observers.

more ⇨

Observer role

☛Place an empty chair at the table or in the circle of chairs occupied by members of the new group.

Any observer may occupy the empty chair at any time to ask a question or comment on what is being said or the way in which the consensus process is being conducted, being careful not to interrupt someone in the middle of a thought. Once the observer has commented, he or she must immediately vacate the chair.

Beginning the consensus task

☛Remind the group to use the three guidelines used in the small working groups:

- A ground rule is useful only if individual members commit to abide by it.
- Too many ground rules can be cumbersome.
- Ground rules can be modified at a later time, by consensus, and new ground rules can be added at any time, by consensus.

Allow 30 minutes for the group to reach consensus.

10 minutes

Conclusion

☛ Conclude this exercise with some final thoughts on the need to attend to ground rules so that they don't become empty words:

Keeping ground rules alive

“ You have used your experience and your best judgment to develop and reach agreement on some ground rules that, if abided by, will help ensure that each of you will have a positive experience in working with one another to bring about change.

Since the ground rules are the product of consensus, each of you has also agreed to conform your own behavior to them.

Likewise, you can expect other members of the group to conform their behavior to them.

To ensure that these statements don't lose their "life blood," remind each other of them when you see them practiced as well as when you see them disregarded.

Using ground rules to check "process"

“ The success of your group may depend as much on *how* you go about your work as on *what* it is you try to do.

Don't underestimate the value of ground rules in keeping group members "process aware."

Just as tasks begin to be neglected when we are not attending to our mission and plan of action, behaviors also become careless and insensitive when group members are not abiding by ground rules.

It is a useful practice to spend 10 minutes or so at the end of each meeting discussing the question,

How do I feel about the meeting?

Such a discussion reveals issues relating to ground rules and reminds each group member of the rules and of their importance in maintaining effective and rewarding interaction.

EFFECTIVE PLANNING 6

Implementation Planning

Description Participants develop implementation plans by asking the traditional questions: who, what, when, where, why, and how.

Prerequisite: The group will have developed key objectives or actions.*

Performance objective To write an implementation plan for a key objective or action.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
90 minutes total	Materials	For each participant, a copy of ☐ Context for Implementation Planning (Handout 1, page 43) ☐ Planning Guidesheet, Parts 1 and 2 (Handout 2, pages 45–46) For each working group of 5–9 people, ☐ a flipchart and markers ☐ 1 copy of Planning Guidesheet, Part 1 (Handout 2, page 45) ☐ 2 copies of Planning Guidesheet, Part 2 (Handout 2, page 46)
	Flipcharts	The trainer may wish to prepare several of the suggested flipcharts before the workshop session. Flipcharts are indicated by a ✏ symbol.
25 minutes	**Introduction to implementation planning**	☛ Distribute Handout 1, Context for Implementation Planning, and introduce the subject with the following suggested remarks: “ Planning may be defined as *an organized effort* *to achieve specific results or outcomes.*

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* Either *Transforming Barriers into Objectives* (pp. 13–19) or *Consensus on Group Priorities* (pp. 21–23) can be used to develop key group objectives or action.

Steps in planning

“ A group begins its planning effort by defining its mission and by envisioning a desired future state. The mission is the reason for the group's existence.The vision is a statement of what ought to be. Its role is to inspire, direct, and guide.

In the context of this mission and vision, the group defines its desired outcomes, or goals, and the necessary steps or targets of improvement on the way to those goals. In this workshop, you have been calling the most important of these steps the group's key objectives or key actions.

Implementation planning, however, is even more detailed and specific than setting objectives. Since its purpose is to bring about change in the real world, it is virtually a *script* for change.

Requirements

“ Implementation requires

- people
- performing certain actions
- at particular times
- in particular places
- for a particular purpose
- in a specific way.

✏ Record these requirements on a flipchart and post it for reference.

Starting an implementation plan

“ The implementation plan starts as a complete "to do" list, a list of all of the action steps planners have identified and agreed are needed to reach a given objective.

The planners then flesh out the script in enough detail to permit them to monitor each event in the implementation process.

1.6(103190)

Six basic questions

❝ To complete each action step, the planners answer six basic questions:

1. *Who* is to be involved in this action step?
2. *What* specific things must this individual or these individuals do?
3. *When* will the necessary actions be taken?
4. *Where* will these actions be performed?
5. *Why* are these actions being taken?
6. *How* are the required tasks to be performed?

✏ Record these six implementation planning questions on the flipchart and post them next to the "requirements" flipchart.

Five basic considerations

❝ In answering these six implementation planning questions, planners should keep in mind five basic considerations:

1. **Involve** the implementers in the planning process.
2. Build in **flexibility** to changing circumstances.
3. Look for ways to **simplify** actions.
4. Plan to **communicate often** with others the purpose and status of the action.
5. Plan to **report the outcome** of the action promptly.

✏ Record the five key considerations on a flipchart and post it next to the other two.

☛ Ask the participants if they have any questions or comments on implementation planning.

60 minutes

Generating action steps and plans

☛ Divide the group into working groups of 5–9 people. Distribute one copy of Planning Guidesheet, Part 1, and two copies of Planning Guidesheet, Part 2, to each group.

Ask the working groups to choose *one* of the key objectives or actions and perform two tasks:

1. Generate all of the possible *action steps* that might be needed to bring about the objective and agree on the *sequence* of those action steps that is the most likely to produce success.
2. Choose two of those action steps and develop a *complete implementation plan* for each, answering the six basic questions and keeping in mind the five basic considerations that implementation planners should address.

Groups will have 50 minutes to accomplish these two tasks. They should try to accomplish the first task in 20 minutes to allow sufficient time for the second task.

Report out

☛ Ask for a brief report from each working group on its sequence of action steps and its two implementation plans.

---

5 minutes

Conclusion

☛ Ask for questions and comments.

Suggest that the group continue to practice this implementation planning technique until it becomes an automatic approach to doing group business.

HANDOUT 1

Implementation Planning

CONTEXT FOR IMPLEMENTATION PLANNING

Steps in the Planning Process

- ☐ Define the mission or reason for being.
- ☐ Envision a desired future state.
- ☐ Define desired outcomes, or goals.
  That is, translate the mission statement into concrete changes desired.
- ☐ Describe the steps or actions on the way to each goal.
  These steps are called objectives. They are: achievable in a stated time period, concrete, specific, and measurable.
- ☐ Develop an implementation plan.
  This details the action steps within each objective or key action, scripting the who, what, when, where, why, and how.
- ☐ Develop an evaluation plan.

HANDOUT 2

Implementation Planning

PLANNING GUIDESHEET, PART 1

Objective (achievable in a given time frame, concrete, specific, measurable)

Action Steps (list in any order; then agree on order as a group)

#___

#___

#___

#___

#___

#___

#___

#___

#___

#___

#___

1.6–2(103190) 1 of 2

PLANNING GUIDESHEET, PART 2 (make a copy for each action step)

Action Step # ___

Six Basic Questions

1. Who?
2. Will do what?
3. When?
4. Where?
5. Why?
6. How?

Five Considerations

1. Are the **implementers present** at this planning session? yes ☐ no ☐
(If not, bring them in before going further.)
2. Does the plan have the **flexibility** needed if circumstances change? yes ☐ no ☐
(If not, adjust it to be more flexible.)
3. Are the planned actions as **simplified** as possible? yes ☐ no ☐
(If not, simplify them.)
4. What is the plan for **communicating** purpose and status of the action with others?
5. What is the plan for **reporting the outcome** of the action?

1.6–2(103190) 2 of 2

EFFECTIVE PLANNING 7

Robbery: Planning with PERT

Description Participants use a graphic analysis tool, the Program Evaluation and Review Technique (PERT), to plan a project.

Performance objectives To draw a PERT chart and

To describe the benefits of using PERT.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
90 minutes total	Materials	For each working group of 4–6 people, ☐ a flipchart and markers For each participant, a copy of ☐ Instruction Sheet (Handout 1, page 53–54) ☐ Answer Sheet (Handout 2, page 55) ☐ An Introduction to PERT (Handout 3, pages 57–59)
	Flipcharts	The trainer may wish to prepare some of the suggested flipcharts, indicated by the ✏ symbol, before the workshop session.
15 minutes	**Overview of PERT**	☛ Provide a brief overview of PERT (from the handout, An Introduction to PERT, which you can distribute at the end of the session). Review the following key points:
	Benefits of PERT	❝ The Program Evaluation and Review Technique, or PERT, is a planning method that permits a group to • **communicate**. Each member can see the process and can contribute to and share in decisions. • **concentrate on critical tasks**, for more efficient use of time and resources. • **continue to reevaluate** the project while it is underway, so that resources can be reallocated to cope with the unexpected.

Adapted from "Robbery: Planning with PERT," by Mark P. Sharfman and Timothy R. Walters, in *The 1983 Annual for Facilitators, Trainers, and Consultants*, ed. Leonard D. Goodstein and J. William Pfeiffer (San Diego), pp. 40–44, by permission of University Associates, Inc.

Steps in PERT analysis

“ PERT is a **group** analysis and flowcharting procedure. Here's a preview of the required steps:

1. Starting at the end, identify and draw all necessary activities that lead up to that end.
2. "Back time" each activity, and label the drawing with the estimated times.
3. Add up the times for all of the activities on the "critical path." More on this step later.

The end result of the group analysis is a **PERT chart**, a picture of the project that enables the whole group to see the process, progress, and opportunities for reducing wasted time and shifting resources.

1.7(103190)

25 minutes

Sample PERT analysis

✏ Walk the group through a PERT analysis, charting it on flipchart paper. You may wish to use the preparations-for-a-picnic example below, from the handout, An Introduction to PERT. Or you may use any other example of a project in which many activities, some of them simultaneous, lead to a desired event.

Step 1:
Start at the end and identify activities

“ To plan a family picnic, a family could analyze the "project" by beginning with the end event of arriving at the picnic grounds.

- Before they can arrive there, they must travel there by car.
- Before they can travel there by car, they must fill the tank with gas and check the oil.
- Also before they travel there by car, they must get ice and pack perishables in the ice chest.
- Before they can do either of those activities, they must travel to the service station.
- Before they can start out for the service station, they must load the car with supplies, except for ice, which they will be getting at the service station.

Note that getting gas and oil and buying ice are simultaneous activities beginning and ending in the same two events, leaving home and arriving at the service station.

Step 2:
Estimate time for each activity

“ Once the family has identified the activities, they estimate the time for each. In this example, they estimate:

travel to the picnic grounds	60 minutes
get gas and oil	10 minutes
buy ice, repack cooler	15 minutes
drive to the service station	10 minutes
total time needed	95 minutes

✏ Write the times in a column and total them. Also write them in parentheses beside the activities on the example PERT chart.

Step 3:
Determine the
critical path

❝ By charting the relationships between activities, they can see that getting gas and buying ice are parallel activities. The activity requiring more time—buying ice and repacking the cooler—is "critical." They need not add in the time for getting gas and oil.

85 minutes, therefore, is the estimated time to accomplish the activities on the PERT chart. Buying ice is on the **critical path** and gassing the car is not.

To arrive at the picnic grounds by 11:00 a.m., they will have to leave home 85 minutes earlier, by 9:35 a.m. If they cannot leave by 9:35 a.m., they can examine their PERT chart for opportunities to shorten the times for other activities along the critical path or consider revising the arrival time at the picnic grounds.

Summary:
Advantages of
PERT charting

❝ PERT is a particularly useful planning tool because of its graphic aspect. The PERT chart

- helps each group member visualize the plan, check progress, and see his or her contribution to the overall effort;
- focuses the group's attention on activities on the critical path, encouraging them to consider adjustments that make better use of resources or time; and
- enables group members to visualize and assess delays and changes quickly.

☛ Ask participants for questions and comments.

	Using PERT to plan a robbery	☛ Form working groups of 4–6 participants.
10 minutes	Review of instructions	☛ Distribute a copy of the Instruction Sheet to each participant and allow 10 minutes for everyone to read it. Ask if there are any questions about the task. Suggest that each group place flipchart paper in the middle of their table to construct their PERT chart.
20 minutes	Group planning	☛ Allow the groups 20 minutes to complete their PERT charts and to determine whether the robbery can be accomplished in the allotted time. Give the groups a warning 5 minutes before the time is up.
5 minutes	Report out	☛ Ask a spokesperson from each working group to explain the group's chart.
5 minutes	Review of answer sheet	☛ Distribute the Answer Sheet and describe the procedure, timing, and critical path step by step.
10 minutes	Discussion of the PERT process	☛ Ask participants to discuss: • their reactions to the experience, • problems they encountered developing their PERT charts, and • questions they may have about PERT. Distribute a copy of Handout 3, An Introduction to PERT, to each participant to reinforce the learnings.

HANDOUT 1

Robbery: Planning with PERT

INSTRUCTION SHEET*

Background: You are members of a notorious bank-robbing gang. The secret of your success is that your robberies always are well planned. For your next caper, you have selected a rural branch of the Second National Bank. From your surveillance, you have discovered that it will take the police seven minutes and thirty seconds to reach the bank once the alarm has sounded. You now want to determine if the robbery can be completed successfully in that time.

To complete the robbery, two members of your gang (one gunperson and a safecracker) will be dropped off behind the bank and will be responsible for picking the lock on the rear door. The rest of the gang will be driven to the front of the bank to wait. Once the alarm has sounded, the entire gang will enter the bank. The gun people will point their weapons at the guards and the customers, the counter leaper will leap over the counter and empty the teller drawers, and the safe cracker will crack or blow open the safe and empty it. Once these things have been accomplished, the gang will leave.

Your task is to determine whether the robbery can be accomplished in the allotted time and, if so, what the critical path is.

Your Task: To create a PERT chart for the bank robbery scenario.

Questions to be answered:

1. Can the robbery be accomplished in the seven minutes, thirty seconds before the police arrive?
2. How quickly can it be accomplished? (What is the critical path?)

Participants:

2 gunpeople
1 safe cracker
1 driver
1 counter leaper
1 mastermind (optional with six participants)

Activities:

1. Drop off one gun person and the safe cracker in the alley behind the bank.
2. Drop off the other gang members in front of the bank.
3. Everyone enters the bank at the same time.
4. The gun people take up their positions and point their weapons at everyone in the bank.
5. The counter leaper leaps over the counter and empties the tellers' drawers.
6. The safe cracker cracks open the safe and empties it.
7. All members of the gang leave the bank at the same time.
8. The driver meets the rest of the gang in front of the bank when the robbery is completed.

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* Reprinted from "Robbery: Planning with PERT," by Mark P. Sharfman and Timothy R. Walters, in *The 1983 Annual for Facilitators, Trainers, and Consultants*, ed. Leonard D. Goodstein and J. William Pfeiffer (San Diego), pp. 42–43, by permission of University Associates, Inc.

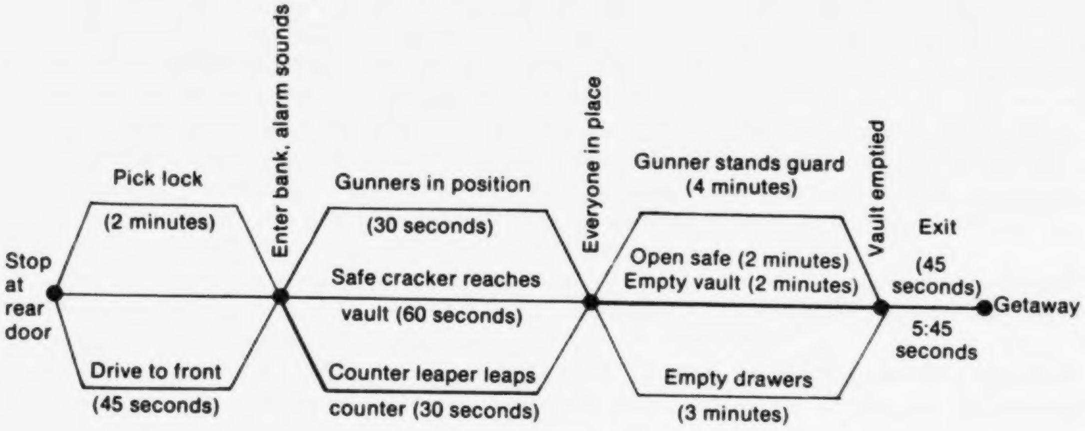
Timing:

1. Two minutes to pick the lock on the rear door.
2. The alarm goes off when the back door is picked; the police arrive in seven minutes thirty seconds.
3. Forty-five seconds to drive from the alley to the front of the bank.
4. Thirty seconds for the gun people to enter the bank and take up their positions.
5. Sixty seconds for the safe cracker to reach the safe from the back door.
6. Thirty seconds for the counter leaper to leap over the counter and start to empty the drawers.
7. Three minutes to empty the tellers' drawers.
8. Two minutes to open the safe.
9. Two minutes to empty the safe.
10. Forty-five seconds to exit from the bank and reach the car at the front curb.

HANDOUT 2

Robbery: Planning with PERT

ANSWER SHEET*


Stop at rear door
Pick lock
(2 minutes)
Drive to front
(45 seconds)
Enter bank, alarm sounds
Gunners in position
(30 seconds)
Safe cracker reaches vault (60 seconds)
Counter leaper leaps counter (30 seconds)
Everyone in place
Gunner stands guard (4 minutes)
Open safe (2 minutes)
Empty vault (2 minutes)
Empty drawers
(3 minutes)
Vault emptied
Exit
(45 seconds)
5:45 seconds
Getaway

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* Reprinted from "Robbery: Planning with PERT," by Mark P. Sharfman and Timothy R. Walters, in *The 1983 Annual for Facilitators, Trainers, and Consultants*, ed. Leonard D. Goodstein and J. William Pfeiffer (San Diego), p. 44, by permission of University Associates, Inc.

HANDOUT 3

Robbery: Planning with PERT

AN INTRODUCTION TO PERT . . . or . . .[*]

NOW THAT WE'VE ALL FINALLY AGREED ON WHERE WE WANT TO GO, HOW DO WE ARRANGE TO GET THERE FROM HERE.

Suppose you wake up on Saturday morning and decide to take the family on a picnic.

Going through your head is a jumble of activities and tasks that need doing in order to get the picnic organized. "Coffee. Is the thermos clean? Remember this time to take some fly-spray. Do we have any beer? What kind of sandwiches would everyone like? "

How to accomplish all the preparations? Obviously, you need the help of the rest of the family. But if everybody is involved in the task, how will it be coordinated? How avoid two people getting the napkins and nobody remembering to get the first-aid box? How to assign responsibility for the can-opener? And how to decide what must be done first, and what can be done at any time?

These kinds of questions *could* be all answered by one person, who would assign tasks and maintain supervision, settle disputes and respond to the inevitable complaints about work-loads, tasks neglected, and so forth.

Or there could be a non-directed kind of process in which the family periodically stops what it is doing to argue about everything from where we want to go down to which kind of olives to take.

But there is a planning method that permits a group to . . .

Be mutually aware of the process and sub-goals. Contribute to and share in the decisions made about how, when and by whom activities are done

Make more efficient use of resources by concentrating effort and time on the *critical tasks* rather than devoting time to sub-tasks while tasks of greater priority lack hands.

Re-evaluate the project while it is underway, and re-allocate resources to cope with unexpected blocks to task accomplishment, or to take advantage of unanticipated success in meeting some sub-goal.

This planning method is called PERT, one of those acronyms to be sure, but no less valuable for that. It stands for Program Evaluation and Review Technique, and it has saved government and industry many millions of man-hours and dollars. A variation of PERT is known as CPM, or the Critical Path Method, a name that expresses something about how the thing is done. In this brief paper, we can only glimpse the bare outlines of PERT/CPM. Please consult the references for more detailed discussions.

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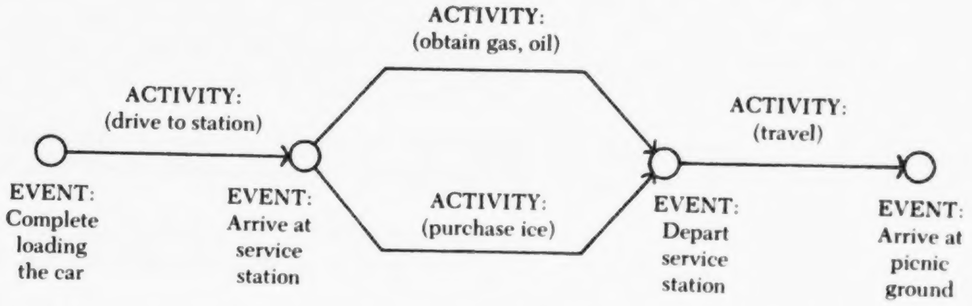
[*] Reprinted from "Introduction to PERT. . . or . . . ," by D.E. Yoes in *The 1972 Annual Handbook for Group Facilitators*, ed. J. William Pfeiffer and John E. Jones (San Diego), pp. 135–137, by permission of University Associates, Inc.

PERT is a group analysis and flow-charting procedure that begins with identifying the sequences of dependent activities.

One begins, in true Lewis Carrol fashion, at the end.

Before we can arrive at the picnic grounds, we must travel there in the car. Before we can travel in the car, we must fill up with gas and check the oil. Before we can do that, we must have traveled to the service station. Before we can start out for the service station, we must have loaded all the supplies in the car . . . except ice, which we can get at the gas station.

So we draw a network of *activities*, each of which ends in an *event*, in this manner:


ACTIVITY: (obtain gas, oil)
ACTIVITY: (drive to station)
ACTIVITY: (travel)
EVENT: Complete loading the car
EVENT: Arrive at service station
ACTIVITY: (purchase ice)
EVENT: Depart service station
EVENT: Arrive at picnic ground

Just to keep it from looking as trivial as you probably think it is, we have shown the purchase of ice as a parallel activity, beginning and ending in the same events as the obtaining of gas and oil.

Now, suppose that you know that you need to arrive at the picnic ground no later than 11:00 am. When will you need to start from home?

Just like the radio or television producer, you now must *back-time* each activity. Estimate its duration as well as you can, and label each activity.

Travel to the picnic ground: 60 minutes.

Obtain gas and oil: 10 minutes.

Purchase ice: 15 minutes (You must also open the ice chest and pack the food and drinks.)

Drive to service station: 10 minutes.

ADD UP THE SEQUENCE OF ACTIVITIES THAT WILL TAKE THE MOST TIME. You discover that you don't need to add the time spent gassing the car; the obtaining of ice will require five more minutes than that.

You have determined that purchasing ice is on the CRITICAL PATH and gassing the car is not.

You have also discovered that it will take you an hour and twenty-five minutes to reach the picnic ground. If you must arrive there at 11:00 am. you must leave no later than 9:35.

What if you cannot leave by then?

You must shorten the time required to accomplish one or several of the activities in the CRITICAL PATH or else revise your plans drastically.

At this point, your oldest boy suggests that the time required to purchase ice could be shortened if he opened the ice chest and partially unpacked the food while his younger brother got the ice bag out of the freezer and little sister gave the attendant fifty cents.

This did not come from you as a command or directive. It came from one of the other planners in response to a perceived need to increase the efficiency of some activity leading to a common goal. And while there may be some squabbling among the children about which child gets to pay the attendant and which gets to carry the ice, there is no cavilling at the division of tasks or the necessity for all to share.

Moreover, every party to the enterprise has a means of evaluating how well the timetable is being met, and of revising the group performance to meet needs that arise unexpectedly.

Each is able to contribute not merely his labor, but his knowledge of the special task he individually performs as it relates to the overall effort.

As boss of the family, you might have been able to come up with the idea of dividing up the task of ice purchase . . . or you might not. And if you had thought of it, the family members might not have performed it as ably under your directive as they would have if it had been their own idea.

The example we have given is thus seen to be trivial, indeed, but at the same time a paradigm of the planning process.

PERT is seen to be a tool of communication, and not just an abstract exercise performed only by the staff planners, thereafter executed under duress by the grumbling line.

PERT is a method that permits revision of the plan when things don't work out like the original plan said they should.

Plans never work out right.

But *the planning process is indispensable.*

D. E. Yoes

H. F. Evarts. *Introduction to PERT*. Dallas: Allyn and Bacon, 1964. (An excellent, short, non-technical introduction.)

R. C. Levin. *Planning and Control with PERT/CPM*. N.Y.: McGraw-Hill, 1966. (More like a textbook, concentrating on industrial management.)

J. J. Moder. *Project Management with CPM and PERT*. N.Y.: Reinhold, 1964. (Develops the mathematics of the process, focusing more on systems development than on industrial management.)

J. D. Wiest and F. K. Levy. *A Management Guide to PERT/CPM*, Englewood Cliffs, N.J.: Prentice-Hall, 1969. (A simplified text for management, but concerned with organizational planning as well as industrial management.)

EFFECTIVE PLANNING 8

Evaluation Planning

Description Participants learn three steps to evaluation planning through a brief introductory lecture. They use the steps to develop a plan and appropriate criteria for evaluating the group's success in meeting one of its objectives.

Prerequisite: The group will have developed key objectives or actions.*

Performance objective To write an evaluation plan for a key group objective.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
60 minutes total	Materials	For each working group of 5–9 people, ☐ a flipchart and markers
10 minutes	**Introduction to evaluation planning**	☛ Deliver the following suggested introduction to evaluation planning: “ Evaluation is a normal, everyday activity. Nothing is more ordinary than to greet a friend with the question, "How are you doing?" or "How is it going?" What the questioner seeks [the trainer should consider saying this in a tongue-in-cheek manner] is *information* *about the degree to which* *the implied goal of happiness* *is being achieved* *as measured against such unstated criteria as* *health, fun, satisfying relationships,* *meaningful work experiences,* *recognized accomplishments,* *and so on.*

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* Either *Transforming Barriers into Objectives* (pp. 13–19) or *Consensus on Group Priorities* (pp. 21–23) can be used to develop key objectives or actions.

Uses of evalution

“ Evaluation is taking stock of the present situation and making appropriate adjustments when current activity is not leading to achieving stated goals.

Though evaluation may come naturally and almost unconsciously in your day-to-day activity, it is *vital* to the more structured and organized activity of planning to meet group goals.

Evaluation gives a group a way to measure progress toward a goal. Without it, planners will not have the information they need to:

- alter a plan that is not working,
- adapt a plan to unanticipated contingencies, and
- adjust resources.

Evaluation gives planners the feedback they need to decide if their plan is bringing about the results they intended.

Evaluation is not, in short, an "academic" exercise destined for the filing cabinet; it is a "living" process.

To be a helpful tool, evaluation must be viewed as an activity that takes place *throughout* a project, not just when the project has been fully implemented.

10 minutes

Steps in evalution planning

☛ Review the three basic steps in evaluation planning as follows:

Step 1: Develop measurable objectives

“ The first requirement for evaluation planning is to develop *measurable* objectives.

Effective planners think about evaluation when they are formulating concrete and specific objectives. Measurable objectives are the yardstick that makes evaluation possible.

Example

“ If a group's objective is

> *To improve safety in the organization*

members may differ on whether the result has been achieved.

However, if the objective is stated as

> *To reduce the accident/injury rate in the organization by 1 percent within 2 years*

the objective is measurable, and the group will be able to monitor from month to month whether their implementation plan is reducing accidents and injuries.

Step 2: Identify appropriate criteria

“ The second requirement is to identify the evaluation criteria against which the group can measure progress on the objective.

Example

“ In the case of the previous objective

> *To reduce the accident/injury rate . . .*

the tool that reports the problem can serve as a criterion:

> *as measured by the number of worker's compensation forms completed.*

Since everyone who is injured must complete a worker's compensation form, change in the number of forms completed will provide a measure of progress on the objective.

Other objectives may require several evaluation criteria to allow the planners to monitor and evaluate them.

Step 3: Identify sources of data

“ Once the evaluation criteria have been identified, planners must determine what data are needed as well as where, how, and how often those data need to be collected.

Collecting the data may require planners to:

- Design and administer questionnaires.
- Conduct interviews
- Examine organization records
- Observe workplace practices.

Summary

“ Evaluation planners must:

1. Develop specific, concrete, measurable objectives.
2. Identify specific evaluation criteria for each objective.
3. Determine the kind of data that will be needed for each evaluation criterion and where it can be found.

☛ Ask participants for questions and comments on evaluation planning.

30 minutes	**Developing an evaluation plan**	☛ Divide the group into working groups of 5–9 people. Ask the working groups to accomplish three tasks: 1. Choose one of the group's key objectives and reformulate it as needed to make it specific, concrete, and measurable. 2. Identify appropriate evaluation criteria that will allow the group to monitor progress on the objective closely. 3. Determine what data will be needed for each evaluation criterion and where and how it can be found. If a working group finishes in less than 30 minutes, suggest that it choose a second key objective and begin to develop a second evaluation plan.
10 minutes	Report out	☛ Ask the working groups for brief reports on the reformulation of the selected objective, the criteria identified, and the source of data. Conclude by asking for comments and questions.

Module 2

Effectiv
Meeting

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U.S. Department of Labor
Bureau of Labor–Management Relations
and Cooperative Programs

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EFFECTIVE MEETINGS

Introduction

This module in the *Committee Effectiveness Training (CET)* series contains four exercises designed to provide group members with the skills and knowledge they need to plan and conduct effective meetings.

Please refer to the *Guidebook for the Trainer* for general information on the *CET* series, on doing a needs assessment, and on designing a workshop.

To help you select exercises to meet the needs of workshop participants, see the sections on General Considerations for the Trainer, Recommendations for Selecting Exercises, and Exercise Summaries in the pages that follow.

GENERAL CONSIDERATIONS FOR THE TRAINER

In developing a workshop to improve a group's ability to plan and conduct meetings effectively, the trainer will consider several questions:

- Which of the other seven training modules in the *Committee Effectiveness Training (CET)* series will also be used to meet the group's perceived training needs?
- How much time is available to deliver a workshop? Will there be more time in the near future to deliver additional components in the *CET* series?
- Does the response to statement **2**, **10**, **18**, or **26** on the Needs Assessment Questionnaire indicate an acute need for a particular exercise? (See the **Indicator** listed under each exercise summary.)

RECOMMENDATIONS FOR SELECTING EXERCISES

With the group's needs and constraints in mind, the trainer should also consider the following recommendations when choosing exercises:

- We recommend using *Farmers* as a core experience for a group learning to plan and conduct effective meetings. *Farmers* can help group members recognize the importance of clear objectives, processes, and roles in making meetings effective.
- *How To PITCH a Better Meeting* allows participants to explore the characteristics of an effective meeting in more detail as well as to evaluate—and to plan improvements for—their own meetings.
- If group meetings do not stay focused on the agenda, *The Role of Facilitator in Effective Meetings* can help hone the skills of the group's designated facilitators as well as help group members see their individual responsibilities in keeping a meeting on track.
- If poor records of its meetings mean that a group must frequently spend time reconstructing decisions and responsibilities, *The Role of Recorder in Effective Meetings* can provide tips for group recorders and underscore the importance of the role.

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EXERCISE SUMMARIES

1 *Farmers*, 90 minutes

Description	Participants attempt to solve a problem in small groups. Their group work becomes more effective as they develop clear objectives, processes, and roles to guide their efforts. *Recommendation:* This exercise should be the core experience for groups needing to make their meetings more effective.
Performance objective	To describe the importance of clear objectives, processes, and roles in planning and conducting effective meetings.
Indicator	A low score on question 2, 18, or 26 on the Needs Assessment Questionnaire.

2 *The Role of Facilitator in Effective Meetings*, 120 minutes

Description	Participants learn the facilitating tasks that get a meeting off to a good start and keep it focused on the agenda. Each of them gets a chance to practice and get feedback on facilitating, both as a designated facilitator and as a group member.
Performance objectives	To differentiate between facilitator and "content oriented" roles, To list several facilitating functions, and To make several process interventions.
Indicator	A low score on question 18 on the Needs Assessment Questionnaire.

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3 *The Role of Recorder in Effective Meetings*, 90–120 minutes (depending on number of participants)

Description Participants use brainstorming to explore the role of and the benefits of using a recorder and then review a checklist of recorder tasks and techniques. Each participant practices and receives feedback on his or her recording skills.

Performance objectives To list several benefits of using a recorder and

To demonstrate several techniques for effective recording.

Indicator A low score on question 10 on the Needs Assessment Questionnaire.

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4 *How To PITCH a Better Meeting*, 70 minutes (85 minutes if *Farmers* has not previously been used)

Description Participants learn five steps to make meetings more effective. They use an assessment instrument to evaluate their last group meeting and develop specific action steps for improving their next one.

Performance objectives To list five steps for effective meetings,

To rate the effectiveness of the group's last meeting, and

To describe several action steps for improving group meetings.

Indicator A low score on question 2, 18, or 26 on the Needs Assessment Questionnaire.

EFFECTIVE MEETINGS 1

Farmers

Description Participants attempt to solve a problem in small groups. Their group work becomes more effective as they develop clear objectives, processes, and roles to guide their efforts.

Recommendation: This exercise should be the core experience for groups needing to make their meetings more effective.

Performance objective To describe the importance of clear objectives, processes, and roles in planning and conducting effective meetings.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
90 minutes total	Size of working groups	This exercise can be conducted with working groups of as few as 6 participants, although 8 is the ideal number.* With 8 participants, 2 members who will not have information bits will be available to assume the facilitator and recorder roles.
	Materials	For each working group of 6–8 people: ☐ a set of Information Bits (Handout 1, pages 11–12), cut apart, ready for distribution* ☐ a flipchart and markers For each participant: ☐ Solution (Handout 2, page 13) ☐ How To PITCH a Better Meeting guidelines (Handout 3, pages 15–16)
	Flipchart	The trainer may wish to prepare the flipchart, indicated by the ✏ symbol, before the workshop session.

Parts of this exercise are adapted from "Farmers: Information Sharing," by Aharon Kuperman, in *The 1981 Annual Handbook for Group Facilitators*, ed. John E. Jones and J. William Pfeiffer (San Diego), pp. 16–23, with the permission of University Associates, Inc.

* Should a group be as small as 5 participants, copy one item from Information Bit #6 onto each of the first five information bits before distributing them.

5 minutes	**Introduction to exercise**	☛ Divide participants into working groups of 6–8 participants.
	Information bits	☛ Distribute one set of Information Bits within each working group. Tell group members that they *may not show* their information bits to anyone *nor may they write* down any of the information. They must communicate all information they wish to share *verbally*. Tell participants that each group has all of the information it needs to accomplish its task. If the group exceeds 6 participants, encourage those who do not receive an information bit to participate fully in the team effort.
	Purpose of 5-minute interventions	☛ Tell the groups that they will have 35 minutes to complete their work. Tell them that you will intervene at 5-minute intervals with questions designed to assist them in accomplishing their work.

35 minutes	**Farmers exercise**	☛ Ask the groups to begin. Watch the time so that you make the six interventions on schedule. Make the first intervention 5 minutes after the groups begin; the second, 5 minutes later; and so on. ✏ As you make each intervention, write on the flipchart the key words shown below. ☛ If, when it is time for an intervention, all of the groups have remedied the problem the intervention is intended to address, simply note that fact to the groups at the 5-minute mark and wait 5 more minutes for the next intervention.
	Intervention 1: Purpose	“ Is the purpose of the exercise clear? What are the tasks you are to accomplish? ✏ Record on the flipchart "Clear purpose and agenda."
	Intervention 2: Process	“ Have you agreed on how to go about getting the tasks done? ✏ Record on the flipchart "Agreed-upon process."
	Intervention 3: Helpful logistics	“ To keep track of the large number of data, would it help to arrange members physically, according to the locations of the houses in the village? ✏ Record on the flipchart "Helpful logistics."
	Intervention 4: Facilitator role	“ Would it help to ask one group member to function as a "traffic cop" to make sure all information gets shared and directed toward accomplishing the tasks? ✏ Record on the flipchart "Effective facilitating."
	Intervention 5: Recorder role	“ Would it help to lift the "no writing" restriction and ask one of the group to record the data on flipchart paper for all to see? ✏ Record on the flipchart "Effective recording."
	Intervention 6: Consensus on outcome	“ When the group has completed its tasks, would it help to summarize the decisions made to make sure that there is a consensus? ✏ Record on the flipchart "Closure and consensus."

	Processing the exercise	☛ When the working groups have completed their tasks and have checked for consensus within their groups, distribute a copy of the Solution to each participant.
20 minutes	Questions	☛ Ask several open-ended questions to elicit participant reactions to and feelings about the exercise: *What was it like beginning a discussion without knowing what you were to do?* *How easy was it getting agreement on how to go about accomplishing the tasks?* *Was the suggestion to rearrange yourselves physically according to the house locations helpful?* *Did appointing a "traffic cop" or facilitator make a marked difference in how information was shared and directed toward accomplishing the tasks?* *What effect did removing the "no writing" restriction and selecting a recorder have on getting the tasks done?* *Did it help for the group to summarize "answers" and make sure that each member agreed?* *How did each of you feel about the results of your efforts?*
15 minutes	Lessons learned	☛ Review with the group the six key phrases recorded on the flipchart at the interventions. Note that these represent several of the key elements in an effective meeting. ✏ Ask participants to suggest additional important elements and record their answers on a flipchart.

15 minutes

How To PITCH a Better Meeting

☛ Distribute Handout 3, guidelines on How to PITCH a Better Meeting, to each participant.

Definition

✏ You may wish to write the following definition on a flipchart:

> *A meeting is a process of communication leading to results*
> *that begins before a group assembles and*
> *that continues after the group disperses.*

☛ Highlight the following points in introducing the concept of PITCHing a meeting:

Why PITCH?

“ The five steps for PITCHing a better meeting—plan, inform, target, contain, and hasten—are consistent with this definition.

The acronym PITCH suggests several things:

- the pivotal role of the pitcher in baseball
- the notion of everyone's pitching in to bring about success
- pitching one's hopes high
- working at a fever pitch
- the more you pitch, the less you [complain]

Review of five steps to PITCH

☛ Review the five steps and the step components in the handout, clarifying and responding to participant questions and observations.

Steps 1 and 2 are taken *before* a group assembles.

The *why, what,* and *how* of step 1 are *repeated* in steps 2, 3, and 4. The replay of these components helps group members maintain a clear focus on and a strong commitment to achieving the group's desired outcomes.

The followup, monitoring, and evaluating components of step 5 occur *after* the group has dispersed.

HANDOUT 1

Farmers

INFORMATION BITS*

Directions Make one set of six information bits for each working group. Cut along lines before distributing one information bit to each group member.

If the group has only five members, copy one bullet item from Information Bit #6 onto each of the first five information bits before distributing them.

✂

FARMERS INFORMATION BIT #1

- The dogs' owner lives next door to the house with a plum orchard.
- Hull raises albino rats.
- The farmer who lives in the bungalow raises pigeons.
- Only one of the village houses is located on the east side.
- The farmer who lives next to Pavlov drives a station wagon.

✂

FARMERS INFORMATION BIT #2

- Pavlov's neighbor raises chimpanzees.
- The farmer who raises dogs also grows cherries.
- Skinner lives next to the red brick house.
- One of your group's tasks is to decide who drives a truck.
- The houses of the village are standing in a semicircle, beside each other.

✂

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* Reproduced from "Farmers: Information Sharing," by Aharon Kuperman, in *The 1981 Annual Handbook for Group Facilitators*, ed. John E. Jones and J. William Pfeiffer (San Diego), pp. 22–23, with the permission of University Associates, Inc.

FARMERS INFORMATION BIT #3

- Kohler grows pears.
- There is a limousine in the garage of the ranch house.
- Each farmer raises a different kind of animal.
- Farmer Thorndike lives next to Farmer Skinner.
- A motorcycle stands in the back yard of the log cabin.

FARMERS INFORMATION BIT #4

- The person who raises cats lives next door and to the east of the house with the almond trees.
- Your group has fewer than three tasks.
- Every week, boxes of dog food are placed at the gate of the log cabin.
- Only one of the village houses is located on the west side.
- Each of the five farmers living in the village drives a different kind of vehicle.

FARMERS INFORMATION BIT #5

- The log cabin is in the most northern position in the village.
- Each farmer grows a different kind of fruit.
- The ranch house stands next to the cottage.
- Farmer Thorndike drives a sports car.
- Farmer Skinner raises pigeons.

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FARMERS INFORMATION BIT #6

- Only Farmer Skinner lives at the west end of the village.
- There are Albino rats in the yard of the ranch house.
- One of your group's tasks is to decide who grows apples.
- Pavlov lives in the log cabin.
- Each farmer lives in a different type of house.

HANDOUT 2

Farmers

SOLUTION TO EXERCISE*

The table below summarizes the data contained on Information Bits #1–6.

The group has two tasks, described on Information Bits #2 and #6. Those two tasks are:

- to determine who drives a **truck** and
- to determine who grows **apples**.

The answers to these two questions are Skinner and Hull, respectively.

Farmer	Skinner	Thorndike	Pavlov	Kohler	Hull
Animals	pigeons	cats	dogs	chimpanzees	albino rats
Fruit	almonds	plums	cherries	pears	**apples**
House	bungalow	red brick	log cabin	cottage	ranch
Location	west	northwest	north	northeast	east
Vehicle	**truck**	sports car	motorcycle	station wagon	limousine

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* Adapted from "Farmers: Information Sharing," by Aharon Kuperman, in *The 1981 Annual Handbook for Group Facilitators*, ed. John E. Jones and J. William Pfeiffer (San Diego), p. 21, with the permission of University Associates, Inc.

HANDOUT 3
Farmers

HOW TO PITCH A BETTER MEETING

Step 1 *Plan*

Plan the meeting, being clear about

- ☐ why the meeting is needed,
- ☐ what outcomes the group wants,
- ☐ who should attend,
- ☐ what arrangements need to be made,
- ☐ what agenda items need to be discussed,
- ☐ how items will be addressed (what processes will be used—brainstorming, diagnosing a problem, developing solutions, selecting a solution, reaching consensus, and so on), and
- ☐ how much time will be needed to achieve the desired outcomes.

Step 2 *Inform*

Inform meeting participants of

- ☐ the purpose of the meeting,
- ☐ the desired outcomes,
- ☐ the agenda items (the "what"),
- ☐ the processes to be used (the "how" of addressing agenda items),
- ☐ the date, time, and location, and
- ☐ any premeeting assignments.

Step 3 *Target*

Develop a **target** for productive discussion by

- ☐ stating and clarifying the purpose of the meeting,
- ☐ getting agreement on the desired outcomes,
- ☐ allowing for modification of the agenda (including adding or deleting items, changing the order, or adjusting the times allocated), and
- ☐ getting agreement on the processes to be used in addressing agenda items.

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Step 4

Contain

Contain the discussion to the agreed-upon agenda by

- ☐ designating a facilitator and a recorder,
- ☐ adhering to the agenda unless the group explicitly agrees to alter it,
- ☐ adhering to an agreed-upon process unless there is common agreement that it is no longer useful,
- ☐ confronting behavior that diverts the group from attaining its desired outcomes,
- ☐ encouraging each group member to bring all his or her information to bear on the issue at hand, and
- ☐ getting agreement on action steps, responsibilities, and target dates.

Step 5

Hasten

Hasten the completion of agreed-upon action steps by

- ☐ summarizing the meeting,
- ☐ recording the decisions that were made,
- ☐ recording the names of persons responsible for implementing action steps and the target dates,
- ☐ agreeing on a date for the next meeting,
- ☐ evaluating every meeting and agreeing on ways to "pitch" a better meeting,
- ☐ editing and distributing minutes,
- ☐ putting unfinished business on the agenda for the next meeting,
- ☐ following up and encouraging task completion, and
- ☐ monitoring and evaluating the results achieved by the group.

EFFECTIVE MEETINGS 2

The Role of Facilitator in Effective Meetings

Description Participants learn the facilitating tasks that get a meeting off to a good start and keep it focused on the agenda. Each of them gets a chance to practice and to get feedback on facilitating, both as a designated facilitator and as a group member.

Performance objectives

To differentiate between facilitator and "content oriented" roles,

To list several facilitating functions, and

To make several process interventions.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
120 minutes total	Materials	For each working group of 5–9 people, ☐ a flipchart and markers For each participant, a copy of ☐ Facilitator Checklist (Handout 1, pages 23–24)
15 minutes	**Introduction to facilitating**	☛ Highlight the following points in defining facilitation and differentiating it from other "content oriented" roles, such as chairperson, parliamentarian, mediator, and content expert.
	Definition	✏ Write the following definition on a flipchart for reference: *Facilitating is the process of assisting a group unobtrusively in focusing its energies to accomplish a given task.*
	Facilitator tasks	“ The person performing the facilitator function helps the group focus by • suggesting methods and procedures, • eliciting full participation from each group member, • guarding the integrity of the process the group has chosen to complete its task, • protecting individuals from personal attack, and

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- making other process interventions designed to help the group achieve its desired outcomes.

What a facilitator isn't

“ A facilitator is *not*

- a chairperson to whom comments are addressed,
- a parliamentarian whose job it is to interpret and enforce rules,
- a mediator who makes judgments about the content issues being discussed by the group, or
- a content expert who has opinions to share on the substance of what the group is discussing.

Process expert, not content expert

“ A facilitator is a **process expert** who uses his or her skills to *make it easy* for the group to work together effectively and efficiently.

His or her role is to elicit or make suggestions on how to proceed in a discussion, *not* to contribute ideas related to the content of the discussion.

A facilitator's effectiveness and credibility rest on his or her ability to remain neutral in regard to the content of the discussion.

Designated and member facilitators

“ Facilitating group activity need not be limited to the group's designated facilitator or cofacilitators. Any member of a group can intervene in the group's work to clarify, suggest, protect people or the process, or make any of a number of interventions. During the balance of this exercise, each participant will have opportunities both to facilitate a working group and to make facilitating interventions as a group member.

☛ Ask for questions and comments on the role of the facilitator.

10 minutes	**Getting a meeting off to a good start**	☛ Distribute a copy of the Facilitator Checklist to each participant. Review with the participants each item on the first page of the checklist.
	Questions as a tool	☛ Stress that a facilitator's *best tool* to accomplish these 15 functions is to *ask questions* of the group. Asking questions, rather than giving directives, helps group members to remember that *they* are in charge, that it is *their* business that is being conducted, and that *each person* has important contributions to make to the group.
30 minutes	**Facilitator practice**	☛ Divide participants into working groups of 5–9 people. Ask these groups to spend 30 minutes getting a meeting started on any issue their workplace group has been addressing. Each member of the working group is to practice the facilitator role. Ask groups to divide the number of members into 30 minutes to determine how long each member will serve. Ask that each group appoint a timekeeper to tell each facilitator when his or her time is up. The rotating facilitators will serve the group by performing the 15 functions on the first page of the checklist. The first facilitator will begin with the first item on the checklist and proceed as far as his or her share of the 30 minutes allows. Each subsequent facilitator will pick up where the previous facilitator stopped. If all 15 functions are completed before the 30 minutes have elapsed, the person facilitating should begin again at the first facilitating intervention, focusing on a new issue.
10 minutes	Critiquing the interventions	☛ Ask the groups to spend 10 minutes discussing which of the facilitator interventions were handled most effectively and why.

10 minutes	**Keeping a meeting going**	☛ Review with participants each of the items on the second page of the Facilitator Checklist, Keeping a Meeting Going.
	Member facilitators	☛ Remind participants that facilitating need not be limited to the designated facilitators. Any member of a group can and should assume a facilitating role when it will help the group be more efficient or effective.
30 minutes	**Group member intervention practice**	☛ Tell the working groups that they will spend 30 minutes continuing the meetings they began earlier. However, during this 30-minute practice session, no one is to assume the facilitator role formally. Each group member will alternate his or her role as a group member—working on the tasks—with a facilitating role. Ask that each participant make as many of the 18 interventions (listed on the second page of the checklist) as he or she finds appropriate during the meeting.
10 minutes	Critiquing the interventions	☛ Ask the working groups to spend 10 minutes identifying • which of the 18 interventions occurred and • which interventions were the most useful in helping the group to achieve its desired outcomes.

5 minutes

Conclusion: Responsibility for facilitating

“ The group should *assign* the facilitating role to one person—or to two persons who act as cofacilitators—to ensure that the role is performed effectively.

However, effective group members will continue to *take the initiative* to

- make procedural suggestions,
- sometimes provide alternatives to the suggestions of the facilitator, and
- generally determine the course of the meeting.

HANDOUT 1

The Role of Facilitator in Effective Meetings

FACILITATOR CHECKLIST

Getting a Meeting Off to a Good Start

Below is a list of interventions a facilitator may wish to use in getting a group meeting started:

- ☐ Clarify for the group that the facilitator's role is to assist the group with process, not to be a content expert.
- ☐ Establish who will serve as the recorder and timekeeper.
- ☐ Determine whether the group wishes to review its ground rules or norms or to establish any new ones.
- ☐ Remind group members of any commitments or agreements they made for this meeting.
- ☐ Remind group members of any new behaviors they want to try out in this meeting.
- ☐ Summarize where the group left off in the last meeting.
- ☐ Clarify the agreed-upon purpose of this meeting.
- ☐ Help the group to build an agenda for this meeting. Specifically, help it to:
    - ☐ Determine which tasks to do first.
    - ☐ Establish specific outcomes or products expected from the meeting.
    - ☐ Establish criteria for determining when expected outcomes are achieved or expected products are acceptable.
    - ☐ Clarify the group's tasks (what), and determine the processes (how) the group will use to complete the tasks.
    - ☐ Establish time frames for each task, activity, or process to ensure that the group has enough time to complete all of them.
    - ☐ Identify the other group members who can assist the group in completing the tasks.
- ☐ Check for agreement of all group members on all of the above before tackling the first agenda item.

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Keeping a Meeting Going

While the group is working on a task, the facilitator—and each participant in his or her facilitating role—will assist the group by intervening as needed to:

- ☐ Keep the group clear on what the task is.
- ☐ Question the relevance of discussion or contributions to reaching the outcomes the group has chosen.
- ☐ Guard the integrity of the process the group has chosen to complete its task.
- ☐ Check for agreement or disagreement.
- ☐ Summarize where the group is in terms of its agenda, tasks, or process.
- ☐ Identify changes or deviations from the group's agreed upon agenda, tasks, or processes.
- ☐ Protect the group from domination by a few individuals.
- ☐ Call on silent members to participate.
- ☐ Protect individuals and the group from personal attacks.
- ☐ Suggest alternatives or options.
- ☐ Surface conflicts.
- ☐ Ask for process checks to determine how group members feel about what is going on at a given moment.
- ☐ Call for time-outs or breaks.
- ☐ Assist the recorder and timekeeper.
- ☐ Identify when a suggestion has been made that the group has ignored.
- ☐ Identify when a decision needs to be made.
- ☐ Identify when a decision has been made.
- ☐ Provide ongoing feedback to the group.

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EFFECTIVE MEETINGS 3

The Role of Recorder in Effective Meetings

Description Participants use brainstorming to explore the role of and the benefits of using a recorder and then review a checklist of recorder tasks and techniques. Each participant practices and receives feedback on his or her recording skills.

Performance objectives To list several benefits of using a recorder and

To demonstrate several techniques for effective recording.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
90–120 minutes total*	Materials	For each working group of 5–9 people, ☐ a flipchart and markers of different colors For each participant, a copy of ☐ Recorder Checklist (Handout 1, pages 29–30)
5 minutes	**Introduction to the recorder role**	☛ Highlight the following points in introducing the role and the importance of the group recorder.
	Definition	✏ Write the following on the flipchart for reference: *A recorder is* *a person designated by the group* *to write down* *in full view of all group members* *their key ideas and decisions,* *using their own words.*
	Group memory	“ The record functions as a group memory that helps group members recall the important details of the meeting. Because everything is recorded under the watchful eyes of all of the group members—who are responsible for ensuring that their ideas are accurately recorded—the group memory represents agreement on what has taken place in the meeting.

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* The exercise requires 90 minutes if working groups are held to 5 participants. Add 8 minutes for each working group member after the fifth.

15 minutes **Brainstorming recorder benefits**

☛ Ask that the group brainstorm the benefits of using a recorder.

Ask for a volunteer to record the brainstormed ideas on the flipchart. (The trainer will refer to the volunteer recorder's manner and techniques later in the exercise when the group reviews the Recorder Checklist.)

The brainstorming should produce a list like the following one.

Using a recorder:

- keeps group members attentive by making the flipchart a common point of reference.
- provides a record of how the group reached a decision as well as what the group decided.
- keeps data from getting lost.
- records member ideas so that members are free to move on to other ideas.
- forces members to check for accuracy in the recording of ideas.
- frees individuals from taking notes.
- helps to prevent covering the same ground twice.
- lets members know their ideas have been heard.
- permits the use of a group problem-solving model, in which many data are generated and preserved for later stages.
- provides visual reinforcement.
- encourages participation since everyone's ideas get on the same sheet of paper.
- turns an individual's ideas into the group's ideas. Ideas become depersonalized.
- helps the group to see all that it has accomplished with each new page.
- allows latecomers and others to review what the group has done and how it went about it.

- is easy and inexpensive.
- makes members more accountable when they see their names beside a task to be done.
- permits ideas to be juxtaposed physically by rearranging flipchart sheets.
- allows participants to focus on issues, not personalities.

When the brainstorming is completed, ask group members how many ideas they came up with. When someone answers, ask how he or she knew the answer—group memory illustrated.

Thank the volunteer recorder.

Note that a role that provides as many potential benefits as those suggested by the participants is an important role.

Moreover, it is a difficult role, one that should rotate among group members so that each person carries a share of the load.

---

15 minutes **Recorder tasks and techniques**

☛ Distribute a copy of the Recorder Checklist to each participant.

Tell participants that the checklist covers some basic tasks required of a recorder and some techniques that will increase a recorder's effectiveness. With experience, group members will expand the list.

Review each of the items on the checklist, commenting on how well the volunteer recorder did on one or two items and on how he or she could have been more effective on one or two other items. Remember that participants are likely to use your feedback to the volunteer as a model for giving their feedback in the next section of the exercise.

Ask for questions, comments, and additional suggestions for the checklist.

45–75 minutes	**Recorder practice**	☛ Ask participants to divide into working groups of 5–9 people. Ask that each working group conduct a meeting to identify and explore solutions to a real problem that the workplace group has been addressing. Ask that each working group member take a turn practicing the recorder role for 5 minutes. Tell participants that you will call time at the end of each 5-minute practice session so that the working groups can give the recorder 3 minutes of specific feedback on how well he or she did and on what might have been done better or differently. You will call time again at the end of each 3-minute interval so that the groups may resume their problem solving with a new recorder. Repeat the 5-minute-practice/3-minute-feedback pattern until each group member has had a turn to act as a recorder and receive feedback.
10 minutes	**Conclusion**	☛ When the last recorder has been critiqued, ask participants for questions and comments about their experiences as recorders.

HANDOUT 1

The Role of Recorder in Effective Meetings

RECORDER CHECKLIST

Group recorders may wish to adopt some of the following tasks and techniques to help them in creating a group memory from what group members say to one another.

Preparation

- ☐ Tell the group that, as recorder, you will record the substance of member contributions as you hear them and that you, in turn, expect group members to review what you've recorded for accuracy. (This is your "contract" with the group.)
- ☐ Make sure you have an adequate supply of flipchart pads, markers, and masking tape. (Use waterbased markers; petroleumbased markers bleed through the paper and may stain the walls.)
- ☐ Use two flipchart easels so that you can move from a completed page to a fresh one without interruption.
- ☐ Tear off small pieces of masking tape and attach them to the edge of the flipchart easel before the meeting to speed the posting of completed flipchart pages.
- ☐ Ask for a volunteer to post the completed pages.

Accuracy and Completeness

- ☐ Record key ideas and phrases using the speaker's words, not your own.
- ☐ Do not record the name of the person contributing an idea. The idea is then "owned" by the group.
- ☐ Write legibly but quickly so you don't hold back the group and dampen its energy. Do not print unless you print as fast as you write.
- ☐ If you cannot hear an idea or hear several ideas at once, ask the group for help.

more ➪

Remaining Unobtrusive

- ☐ Remain as unobtrusive as possible. Focus on the flipchart rather than on someone who is trying to express an idea.
- ☐ Speak only when you need clarification or more time to record the ideas.
- ☐ Like any group member, you may speak to the facilitator if you see a way of assisting the group in working with the data already presented or if you see that the group is off track.

Format of the Record

- ☐ Do not worry about spelling. It is substance, not form, that the recorder is to capture.
- ☐ Use different colored markers for headings, for different levels of detail, for different kinds of data, and for emphasis. For quick color changes, you can hold three uncapped markers in one hand while you are writing with a fourth. Use arrows, stars, numbers, and other devices to organize the data.
- ☐ Use only commonly understood abbreviations.
- ☐ When you summarize a long idea in key phrases, ask the contributor if you have accurately recorded the idea.
- ☐ Don't be defensive if a group member challenges your accuracy in recording an idea. Cross it out and rewrite it. The group owns the idea.

Completing the Task

- ☐ Number each page to help order completed sheets.
- ☐ At the end of a meeting, compile and label the completed flipchart pages, and make sure they are safely stored and made available for the next meeting.
- ☐ Make sure that the group has come to agreement on what will be done with the group record. Will it be transcribed? Summarized? Summarized and distributed to constituents? Saved in its initial form?

EFFECTIVE MEETINGS 4

How To PITCH a Better Meeting

Description	Participants learn five steps to make meetings more effective. They use an assessment instrument to evaluate their last group meeting and develop specific action steps for improving their next one.
Performance objectives	To list five steps for effective meetings, To rate the effectiveness of the group's last meeting, and To describe several action steps for improving group meetings.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
70–85 minutes total*	Materials	For each working group of 3-4 people, ☐ a flipchart and markers For each participant, a copy of: ☐ How To PITCH a Better Meeting guidelines (Handout 1, pages 35–36) ☐ Meeting Evaluation Form (Handout 2, pages 37–38)
15 minutes	**How To PITCH a Better Meeting***	☛ Distribute Handout 1, guidelines on How to PITCH a Better Meeting, to each participant. You may wish to use the following script to introduce the concept of PITCHing a meeting:
	Definition	“ A meeting is *a process of communication* *leading to results* *that begins before a group assembles and* *that continues after the group disperses.*

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* If the group has already used the *Farmers* exercise, the PITCH acronym will be familiar, and the 15-minute introduction in this exercise can be reduced. Begin the exercise with the section on "Evaluating the last meeting" on page 33.

Why PITCH?

The five steps for PITCHing a better meeting—plan, inform, target, contain, and hasten—are consistent with this definition.

The acronym PITCH suggests several things:

- the pivotal role of the pitcher in baseball
- the notion of everyone's pitching in to bring about success
- pitching one's hopes high
- working at a fever pitch
- the more you pitch, the less you [complain]

Review of five steps to PITCH

☛ Review the five steps and the step components, clarifying and responding to participant questions and observations.

Steps 1 and 2 are taken *before* a group assembles.

The *why, what,* and *how* of step 1 are *repeated* in steps 2, 3, and 4. The replay of these components helps group members maintain a clear focus on and a strong commitment to achieving the group's desired outcomes.

The followup, monitoring, and evaluating components of step 5 occur *after* the group has dispersed.

20 minutes	**Evaluating the last meeting**	☛ Distribute a copy of the Meeting Evaluation Form to each participant. Ask participants to focus on and evaluate the most recent group meeting they attended. Allow them 10 minutes to complete the form.
	Scoring the forms	☛ Ask participants to total the numbers they circled, to jot the total on a piece of paper, and to pass those totals to the trainer. ✏ Record the totals on the flipchart in two columns. Write all of the numbers that are below 75 in the left column and all of those 75 or above in the right column. Circle the numbers in the left column that are 50 or below and the numbers in the right column that are 100 or above. ☛ Explain that 75 is the median point between 25 (the score if all the statements were rated as 1) and 125 (the score if all statements were rated as 5). A score of 50 or below represents, on average, a disagreement with the statements, while a score of 100 or above represents agreement with the statements. Ask for questions and comments.

30 minutes	**Developing action steps**	☛ Ask participants to form working groups of 3–4 people. Have these working groups take 5 minutes to note the five statements on the Meeting Evaluation Form on which its members had the lowest scores. ✏ Ask each group to read its five numbers while you record them on the flipchart in vertical columns of five numbers. Circle the numbers that occur most frequently. ☛ Assign each working group one or more of the circled numbers. Note that each numbered statement represents a characteristic of effective meetings. For each statement assigned, ask that the group develop action steps that would help the workplace group improve that aspect of its meetings.
15 minutes	Report out	☛ Ask each working group to report on the action steps it developed to improve the meetings of the workplace group. ✏ Record each set of action steps on the flipchart.
5 minutes	**Conclusion: Commitment to improving meetings**	☛ Ask that, in the planning and conducting of the next meeting of the workplace group, the members of each working group take the initiative in implementing the action steps they proposed. Suggest that the workplace group use the Meeting Evaluation Form periodically to monitor its progress and to continue to improve its meetings.

HANDOUT 1

How To PITCH a Better Meeting

GUIDELINES

Step 1 *Plan*

Plan the meeting, being clear about

- ☐ why the meeting is needed,
- ☐ what outcomes the group wants,
- ☐ who should attend,
- ☐ what arrangements need to be made,
- ☐ what agenda items need to be discussed,
- ☐ how items will be addressed (what processes will be used—brainstorming, diagnosing a problem, developing solutions, selecting a solution, reaching consensus, and so on), and
- ☐ how much time will be needed to achieve the desired outcomes.

Step 2 *Inform*

Inform meeting participants of

- ☐ the purpose of the meeting,
- ☐ the desired outcomes,
- ☐ the agenda items (the "what"),
- ☐ the processes to be used (the "how" of addressing agenda items),
- ☐ the date, time, and location, and
- ☐ any premeeting assignments.

Step 3 *Target*

Develop a **target** for productive discussion by

- ☐ stating and clarifying the purpose of the meeting,
- ☐ getting agreement on the desired outcomes,
- ☐ allowing for modification of the agenda (including adding or deleting items, changing the order, or adjusting the times allocated), and
- ☐ getting agreement on the processes to be used in addressing agenda items.

more ⇨

Step 4 **Contain**

Contain the discussion to the agreed-upon agenda by

- ☐ designating a facilitator and a recorder,
- ☐ adhering to the agenda unless the group explicitly agrees to alter it,
- ☐ adhering to an agreed-upon process unless there is common agreement that it is no longer useful,
- ☐ confronting behavior that diverts the group from attaining its desired outcomes,
- ☐ encouraging each group member to bring all his or her information to bear on the issue at hand, and
- ☐ getting agreement on action steps, responsibilities, and target dates.

Step 5 **Hasten**

Hasten the completion of agreed-upon action steps by

- ☐ summarizing the meeting,
- ☐ recording the decisions that were made,
- ☐ recording the names of persons responsible for implementing action steps and the target dates,
- ☐ agreeing on a date for the next meeting,
- ☐ evaluating every meeting and agreeing on ways to "pitch" a better meeting,
- ☐ editing and distributing minutes,
- ☐ putting unfinished business on the agenda for the next meeting,
- ☐ following up and encouraging task completion, and
- ☐ monitoring and evaluating the results achieved by the group.

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HANDOUT 2

How To PITCH a Better Meeting

MEETING EVALUATION FORM

Directions Reflect on the last meeting of your group that you attended.
Circle the number that best reflects your viewpoint on each statement.

	Strongly disagree	Disagree	Undecided	Agree	Strongly agree
	⬇	⬇	⬇	⬇	⬇
1. I knew why we were having a meeting before I came to the meeting.	1	2	3	4	5
2. I knew what the desired outcomes were for the meeting before I arrived.	1	2	3	4	5
3. Everyone who should have been at the meeting had been told it was being held.	1	2	3	4	5
4. The physical arrangements for the meeting were handled well.	1	2	3	4	5
5. I received an agenda before I came to the meeting.	1	2	3	4	5
6. Before I came to the meeting, I knew what processes would be used to address agenda items (e.g., brainstorming, diagnosing a problem, developing solutions, selecting a solution, consensus).	1	2	3	4	5
7. Enough time was allotted to address agenda items.	1	2	3	4	5
8. At the beginning of the meeting, the purpose of the meeting was stated clearly.	1	2	3	4	5
9. At the beginning of the meeting, everyone agreed on what he or she would like to see come out of the meeting.	1	2	3	4	5
10. Everyone had a chance to modify the agenda and agree on priorities and time allocations.	1	2	3	4	5
11. Everyone agreed to the processes to be employed in addressing the agenda items.	1	2	3	4	5

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	Strongly disagree	Disagree	Undecided	Agree	Strongly agree
12. A facilitator and a recorder were designated to assist the group.	1	2	3	4	5
13. We adhered to the agenda unless everyone agreed to modify it.	1	2	3	4	5
14. We adhered to the agreed-upon processes unless we all agreed that they were no longer useful.	1	2	3	4	5
15. We did not allow anyone to divert us from attaining our agreed-upon outcomes.	1	2	3	4	5
16. Everyone contributed his or her viewpoint on the issues discussed.	1	2	3	4	5
17. We got agreement on action steps, responsibilities, and target dates for completion.	1	2	3	4	5
18. We summarized our meeting.	1	2	3	4	5
19. We recorded all of our decisions.	1	2	3	4	5
20. We recorded the names of persons responsible for action steps and the target dates for completion.	1	2	3	4	5
21. We evaluated our meeting and agreed on ways to improve our next meeting.	1	2	3	4	5
22. We designated someone to edit and distribute the minutes of the meeting.	1	2	3	4	5
23. We put unfinished business on the next meeting's agenda.	1	2	3	4	5
24. We designated someone to follow up and encourage task completion.	1	2	3	4	5
25. We regularly monitor and evaluate the results achieved by our group.	1	2	3	4	5

Module 3

Group Problem Solving

U.S. Department of Labor
Bureau of Labor–Management Relations
and Cooperative Programs

GROUP PROBLEM SOLVING

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Introduction

This module in the *Committee Effectiveness Training (CET)* series contains eight training exercises designed to provide group members with a model and analytic tools to help them solve problems.

Please refer to the *Guidebook for the Trainer* for general information on the *CET* series, on doing a needs assessment, and on designing a workshop.

To help you select exercises to meet the needs of workshop participants, see the sections called General Considerations for the Trainer, Recommendations for Selecting Exercises, and Exercise Summaries in the pages that follow.

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GENERAL CONSIDERATIONS FOR THE TRAINER

In developing a workshop to improve a group's ability to solve problems effectively, the trainer will consider several questions:

- Does this particular group have substantial responsibility for identifying and solving problems?
- Which exercises from the other seven training modules in the *Committee Effectiveness Training (CET)* series will also be used in the workshop?
- How much time is available to deliver a workshop? Will there be more time in the near future to deliver additional components of the *CET* series?
- Does the response to statement **3**, **11**, **19**, or **27** on the Needs Assessment Questionnaire indicate an acute need for a particular exercise? (See the **Indicator** listed under each exercise summary.)

RECOMMENDATIONS FOR SELECTING EXERCISES

With the group's needs and constraints in mind, the trainer should also consider the following recommendations when choosing exercises:

- *Let's Look at the Mailroom* is a good introduction to the need for a structured approach to problem solving. Since it is a role play, it can provide a change of pace and direction in a longer, multipurpose workshop. Use it in conjunction with *A Group Problem-Solving Model*.
- *A Group Problem-Solving Model* is the core exercise in this module. Use it first if the group needs basic training to approach issues in an orderly way.
- If time permits, *The Lawn: Problem or Symptom?* is an entertaining way to learn to distinguish among problems, causes, and symptoms and to refine the problem statement as more information becomes known.
- *Brainstorming* teaches the most basic and commonly used tool in group work. The technique is used to generate ideas as a starting point in several analytic processes and is thus a prerequisite for three exercises.
- *Cause and Effect Analysis* teaches a useful beginning tool for a group that requires structure to think about a full range of possible causes.
- *Force Field Analysis* teaches an intermediate-level tool important to a group's success in implementing any solution.
- *Pareto Analysis* teaches the most advanced tool, encouraging the use of data gathering and analysis to help groups set priorities for action.
- *Applying the Problem-Solving Model and Tools to a Real Problem* gives a group an opportunity, with a resource person present, to hone and integrate a range of problem-solving tools.

EXERCISE SUMMARIES

1 *Let's Look at the Mailroom*, 60 minutes

Description	Participants engage in a role play that demonstrates the confusion and problems that can occur when a group has no framework or model for solving problems. *Recommendation:* This experience can set the stage for *A Group Problem-Solving Model.*
Performance objective	To describe the advantages of using a problem-solving model to keep a discussion on task.
Indicator	A low score on question 3 on the Needs Assessment Questionnaire.

2 *A Group Problem-Solving Model*, 30 minutes

Description	Participants are introduced, in a slide-illustrated talk, to a simple six-step problem-solving model.
Performance objective	To describe the steps in the six-step problem-solving model.
Indicator	A low score on question 3 or 11 on the Needs Assessment Questionnaire.

3 *The Lawn: Problem or Symptom?*, 60 minutes

Description	Participants work in small groups to sift through 25 statements of facts and feelings about a situation. They determine which statements are relevant and use that information to identify the problem to be solved.
Performance objective	To differentiate among a problem, its causes, and its symptoms.
Indicator	A low score on question 11 on the Needs Assessment Questionnaire.

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4 *Brainstorming*, 30 minutes

Description	Participants learn guidelines for brainstorming in a short, slide-illustrated talk and practice the technique in two brief exercises.
Performance objectives	To state several guidelines for brainstorming and To describe the benefits of brainstorming.
Indicator	A low score on question 19 on the Needs Assessment Questionnaire.

5 *Cause and Effect Analysis*, 45 minutes

Description	Participants learn cause and effect analysis and use the "fishbone" diagram to diagnose a real problem. *Prerequisite:* Participants will have experience in brainstorming.
Performance objectives	To describe the uses of cause and effect analysis and To use a cause and effect (fishbone) diagram to brainstorm causes and identify root causes.
Indicator	A low score on question 11 or 27 on the Needs Assessment Questionnaire.

6 *Pareto Analysis*, 60 minutes

Description	Participants learn Pareto analysis and apply the technique to identify significant causes of an actual problem.
Performance objectives	To draw a Pareto diagram, given pertinent data, and To describe the benefits of Pareto analysis in determining priority causes in problem solving.
Indicator	A low score on question 11 or 27 on the Needs Assessment Questionnaire.

---

7 *Force Field Analysis*, 60 minutes

Description Participants learn force field analysis and apply the technique in developing a strategy for implementing a planned solution.

Prerequisite: Participants will have experience in brainstorming.

Performance objectives To describe the application of force field analysis in selecting and implementing solutions,

To diagram the force field surrounding a planned change, and

To develop strategies for altering some of the forces.

Indicator A low score on question 27 on the Needs Assessment Questionnaire.

---

8 *Applying the Problem-Solving Model and Tools to a Real Problem*, 180 minutes

Description Participants apply the six-step model and the tools of brainstorming, cause and effect analysis, Pareto analysis, and force field analysis in a work session on a real problem the group wants to solve.

Prerequisite: Participants will have completed *A Group Problem-Solving Model* and at least one of the three exercises on analysis methods and will have experience in brainstorming.

Performance objective To tackle a problem using the problem-solving model and tools learned earlier in the training.

Indicator A low score on question 3 on the Needs Assessment Questionnaire.

GROUP PROBLEM SOLVING 1

Let's Look at the Mailroom

Description Participants engage in a role play that demonstrates the confusion and problems that can occur when a group has no framework or model for solving problems.

Recommendation: This experience can set the stage for *A Group Problem-Solving Model.*

Performance objective To describe the advantages of using a problem-solving model to keep a discussion on task.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
60 minutes total	Materials	For each participant, a copy of ❑ Problem Situation Sheet (Handout 1, page 11) For each working group of 6–11 people: ❑ a flipchart and markers ❑ a set of Task Force Roles (Handout 2, pages 13–15), cut apart for distribution
40 minutes	**Introduction to the role play**	☛ Divide participants into working groups of 6–11 people. Distribute a copy of Handout 1, the Problem Situation Sheet, to each person. Tell participants that they are going to role play members of a task force assigned to solve a problem. Ask them to read the sheet carefully, underlining key points.
	Task force roles	☛ Tell the groups that some members will be given additional information about how to go about solving the problem. They are to act on this information but *may neither show nor read* it to anyone. In each working group, give each member a different Task Force Role slip. Distribute the slips in order, and distribute *at least* the first six slips.
	Beginning the role play	☛ Tell the groups that they will have 30 minutes to solve the problem, and ask them to begin their problem-solving processes.

20 minutes **Processing the exercise**

☛ After 30 minutes, ask the groups to report on how they did in accomplishing their task.

Ask some open-ended questions about how "task force" members felt about the problem-solving process:

Could you follow the course of the discussion?

How did you feel? Overloaded? Confused? Frustrated? Tuned out? Angry?

Explanation of the role play

☛ Ask the members of one group to read their Task Force Role slips aloud.

Note that each group member's role required him or her to focus attention on a particular step or stage of the problem-solving process. Because there was no agreed-upon order of problem-solving steps, the discussion that occurred was one in which several important problem-solving steps were contributed simultaneously rather than sequentially.

When the groups are larger than 6 members, note also that several of the group members played characters with a vested interest in pushing the group to select specific solutions.

Differences from the workplace group

☛ Ask the participants:

How was the simulated discussion different from other workplace discussions your group has had in the process of trying to solve a problem?

Changing focus

☛ Note that, in many groups, it is common for the focus to change continually. Solutions will often be proposed before the problem has been diagnosed and other options explored. Though such free-flowing conversations *may* release creativity, there are important advantages to proceeding sequentially in solving problems in groups.

Focusing on one step of the problem-solving process at a time allows a group to stay on target and to build on the ideas of others. Moreover, a one-step-at-a-time approach helps to ensure that equal effort is exerted in each phase of the problem-solving process.

Tell the group that an overview of a simple six-step problem-solving model is the focus of the next exercise.

HANDOUT 1

Let's Look at the Mailroom

PROBLEM SITUATION SHEET

There is a problem in the mailroom of an insurance claims department. Many of the claims adjusters are receiving claims that are postmarked 2 weeks before receipt. Customer complaints have risen 85% in the last 6 months, including a 2% rise in complaints that the company has lost submitted claims.

Of the mailroom staff of 23 (one manager, one assistant manager, two supervisors, and 19 unionized mailclerks), only 12 have worked there for more than 6 months: one supervisor and 11 mailclerks. There are rumors of morale problems in the department. Both the union leadership and management have seen an increase in grievances in the mailroom. One of the supervisors is mentioned in 75% of the grievances.

The mail-sorting machine has been in disrepair for several months. The service company has been called in on 14 occasions. The assistant manager has placed a capital improvement request for a "next generation" mail sorter. Since the company refused to meet the pay increase demands of the union in the last contract negotiations, claiming decreased profits, it is unlikely that the purchase of a new sorter will be approved.

No one seems to be resolving the problem. The mailroom manager and supervisors are swamped with an increased volume of paperwork and mail. The claims adjusters have been carrying the brunt of the criticism for customer dissatisfaction. The personnel department is also being criticized for failing to hire competent people and to provide adequate skills training. Top management is proposing tighter discipline and controls to improve quality control.

The union has proposed a joint task force to address the problems in the mailroom, and management, after giving serious consideration to that proposal, has given its OK.

You have been appointed to serve on that task force and are meeting with your fellow task force members for the first time.

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HANDOUT 2

Let's Look at the Mailroom

TASK FORCE ROLES

Instructions Reproduce one set of role slips for each working group of 6–11 people in the workshop. Cut the slips apart along the dotted lines.

Distribute one role slip to each working group member, making sure to distribute at least the first six role slips.

ROLE #1: VICE PRESIDENT FOR OPERATIONS

As Vice President for Operations, you are responsible for the maintenance of efficient and effective systems.

Your major interest is to try to get the task force to focus on *defining the problem*. Is it a problem of outmoded technology? Understaffing? Poor management? Poor morale? Inadequate training? Bad hiring practices?

ROLE #2: UNION PRESIDENT

As Union President, you must have convincing answers for your membership on why things are the way they are.

Your major interest is to try to get the task force to focus on the *causes* of the problem: Why are things not going well in the mailroom? If the causes of a problem are not analyzed, the task force is likely to recommend solutions that will not work.

ROLE #3: PERSONNEL MANAGER

As Personnel Manager, you know that there is no one quick fix to any problem.

Your major interest is to try to keep the task force from getting bogged down in the problem and to get beyond the problem to developing *as many potential solutions as possible*.

-- ✂

ROLE #4: UNION VICE PRESIDENT

As Union Vice President, you have spent much of your time in grievance meetings and are sick of them.

Your major interest is to try to get the task force to see, as soon as possible, that *the* solution to the mailroom problem is to replace the supervisor who has been involved in 75% of the increasing number of grievances. Only in this way can morale be improved.

-- ✂

ROLE #5: MAILROOM MANAGER

As Mailroom Manager, you have been taking a lot of heat and want to be seen as being responsive and decisive.

Your major interest is to get the task force to focus, as quickly as possible, on how it plans to *implement* a workable solution, regardless of what that specific solution is. Who will be accountable for implementing the solution? What specific steps will be taken? When will each step be completed?

-- ✂

ROLE #6: QUALITY MANAGER

As Quality Manager, you know how important it is to establish measurement methodologies.

Your major interest is to get the task force, before it gets too far in its discussion, to focus on how it plans to *evaluate* the solution it will implement. How will it know that the solution is the right one and that it is successfully eliminating the problem without causing new ones?

-- ✂

ROLE #7: MAILROOM SUPERVISOR

As Mailroom Supervisor, you have to get the job done through your people, and your boss isn't interested in excuses.

Your major interest is to get the task force to see, as soon as possible, that *the* solution to the mailroom problem is to increase staffing. Only in this way will you be able to keep on schedule, especially when the mail-sorting machine breaks down.

-- ✂

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ROLE #8: MAILROOM UNION STEWARD

As Mailroom Union Steward, you are constantly hearing gripes about the malfunctioning mail-sorting machine.

Your major interest is to get the task force to see, as soon as possible, that *the* solution to the mailroom problem is to recommend that management invest in a "next generation" mail-sorting machine.

ROLE #9: MAILCLERK

As a mailclerk, you feel overburdened with the volume of work.

Your major interest is to get the task force to hire more mailclerks.

ROLE #10: MAILCLERK

As a mailclerk, you are very frustrated with having to hand sort the mail whenever the mail-sorting machine is on the fritz.

Your major interest is to get the task force to replace the defective machine.

ROLE #11: CLAIMS ADJUSTER

As a claims adjuster, you have had to take the rap for slow processing of claims.

Your major interest is to ensure that responsibility for the problem is confined to the mailroom.

GROUP PROBLEM SOLVING 2

A Group Problem-Solving Model

Description	Participants are introduced, in a slide-illustrated talk, to a simple six-step problem-solving model.
Performance objective	To describe the steps in the six-step problem-solving model.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
30 minutes total	Materials	☐ a slide projector and screen ☐ 18-slide set, *Problem Solving: A Six-Step Process* For each participant, a copy of ☐ Problem Solving: A Six-Step Process (Handout 1, pages 25–34)
5 minutes	**Why a problem-solving model is needed**	☛ Introduce the need for a model or framework as follows: “ A problem-solving model is a *conceptual framework* for addressing problems, not a formula for solving them. People are the actual problem solvers. But *groups* of people usually need an agreed-upon framework to keep them focused and on task. Though problem-solving models can be highly sophisticated and technical, the model you will be learning about in this session has just six simple steps. Despite its simplicity, it is comprehensive enough to address all but the most technical problems. But because of its simplicity, your group is likely to remember and to use it.

---

25 minutes

Slide talk: The six-step model

☛ Begin the slide talk, using the following suggested script:

Slide *1*
(title slide)

“ Problem Solving: A Six-Step Process

Slide *2*
A problem-solving model helps . . .

“ A problem-solving model can help a group stay on track and work efficiently. Without a model, the group might overlook many of its options and step into still other problems.

With a model, a group has a **framework** to help:

- air everyone's concerns and ideas
- delve beyond symptoms to causes and root problems
- explore the full range of solutions, selecting from that range a technically sound solution that is acceptable to all concerned
- anticipate adverse impacts
- follow through on steps needed to effect the solution
- work together productively

Slide *3*
(full diagram)

“ Here is an **overview** of the process. The sequence begins with "1. Identify the problem" and proceeds clockwise through six steps:

1. Identify the problem.
2. Diagnose the problem.
3. Develop solutions.
4. Select a solution.
5. Implement the solution.
6. Evaluate the outcome.

The steps are arranged in a circle to emphasize the **cyclic, continuous nature** of the problem-solving process. The model has several important characteristics:

- There are no branches or choice points. All six steps are required in the order shown. When one step is completed, your group proceeds clockwise to the next step.

Slide 4
(full diagram,
reversed arrows)

“ • The steps are **repeatable**. At any step, your group may decide to return to and repeat an earlier step. Diagnosing a problem, for instance, can lead back to redefining it.

- The process is **continuous**. Implementing a solution does not end the process. Evaluating that solution may identify new aspects of the problem or new problems that need to be addressed, leading the group to a new step 1.

Though the steps have discrete names, there is no clear demarcation between them. Identifying and diagnosing a problem frequently overlap. Selecting a solution may prompt the group to refine a solution or to develop additional ones. Evaluation mechanisms may suggest changes in the implementation plan.

The fact that the process is continuous, with some "recycling," permits a group to monitor the environment in which a solution is to be introduced; take into account other forces, mechanisms, and changes in the organization; and "roll in" any new information that affects the success of the proposed solution.

Let's examine each step in more detail.

Slide 5
(full diagram,
1 highlighted)

“ The first step, identifying the problem, is a broad review of the current situation—a fitting together of information, like the pieces of a puzzle.

Slide 6
1. Identify
the problem.

“ In this first stage, a group identifies and discusses the **symptoms and scope** of the problem. That is, it determines what "hurts," to what degree the symptoms are shared, and the urgency of relieving the symptoms.

You'll use **tools** like brainstorming, interviewing, and questionnaires to gather this information.

As you go, you will find yourselves raising, reviewing, and discarding **statements of the problem** as you sort out what are merely symptoms and look behind those symptoms to make a tentative definition of the underlying problem.

Slide *7* (full diagram, 2 highlighted)	❝ Once you recognize the symptoms and have tentatively defined the problem, your group will look more closely at the problem, working to diagnose it accurately so that the appropriate solution can later be developed.
Slide *8* 2. Diagnose the problem.	❝ In this second step, your group will collect information about the nature of the problem. You'll find that **tools** such as cause and effect analysis and Pareto analysis can help you organize information and zero in on underlying causes. This is the stage in which you determine the **root causes** of the problem. When you restate the problem, your definition will reflect the causes. Your efforts over the next two steps can thus be directed to finding solutions that address the roots of a documented problem, not merely its random symptoms.
Slide *9* (full diagram, 3 highlighted)	❝ Once you've defined a problem, your "knee jerk" reaction may be to jump toward a particular solution. But effective problem solving requires you to develop and **explore a full range** of viable solutions.
Slide *10* 3. Develop solutions.	❝ To assemble a variety of solutions from which to choose, you must • **generate** as many potential solutions as possible, • **relate** each to the causes of the problem, and • **merge** similar or related solutions. At this stage, you're still *not* ready to select the best solution. You simply want to narrow the field, reduce redundancy, and eliminate any possibilities that don't address the causes you identified earlier. Force field analysis is a good **tool** for preliminary screening of this solution field.

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Slide *11*
(full diagram,
4 highlighted)

“ Your group will next select a solution by weighing all the possibilities against criteria the group develops.

Slide *12*
4. Select
a solution.
(first bullet)

“ Selecting a solution is a search for the most **effective** solution by applying two general criteria, technical quality and acceptability.

When evaluating the **technical quality** of a proposed solution, ask:

- ☐ Can it be implemented in a reasonable **time**?
- ☐ Can it be done within **cost** limits?
- ☐ Will it work **reliably**?
- ☐ Will it use staff and equipment **efficiently**?
- ☐ Is it flexible enough to **adapt** to changing conditions?

Slide *13*
4. Select
a solution.
(second bullet)

“ When evaluting the **acceptability** of a proposed solution, ask:

- ☐ Do the implementers **support** the solution, perceiving it to be worth their time and energy?
- ☐ Are the **risks** manageable?
- ☐ Will the solution benefit the **persons** affected by the problem?
- ☐ Will it benefit the **organization**?

Selecting a solution thus requires you to identify an **effective** solution—one that

- has sufficient **technical quality** to resolve the problem and
- is **acceptable** to those who will have to implement it.

Slide *14*
(full diagram,
5 highlighted)

“ Choosing a solution doesn't immediately solve a problem. Putting a solution into **action** may prove as difficult as deciding on one.

Slide *15*
5. Implement the solution.

“ The implementation stage requires **action planning**. Your group must decide:

- **What** must be done?
- **Who** will do it?
- **When** will it be started? When will key milestones be completed?
- **Where** will the necessary actions take place?
- **How** will the necessary actions be carried out?
- **Why** are these actions a solution?

Slide *16*
(full diagram,
6 highlighted)

“ Most groups neglect or shortchange the evaluation step.

In simplest terms, evaluation is the **monitoring** that any project needs to ensure that milestones are met, costs contained, work completed.

Slide *17*
6. Evaluate the outcome.

“ But the more effective groups plan additional **feedback** mechanisms to detect the need for midcourse corrections and to ensure that the problem gets solved without creating new problems.

Collecting data and reporting on what has been accomplished keeps a group credible with its constituents.

Reflecting on its own processes and results keeps a group effective.

Slide *18*
A continuous process . . .

“ And reflecting on its results helps a group identify its next step, bringing the problem-solving process full circle.

Remember these six steps:

1. Identify the problem.
2. Diagnose the problem.
3. Develop solutions.
4. Select a solution.
5. Implement the solution.
6. Evaluate the outcome.

Keep the six-step model in mind as you work to solve problems. It will help to keep group discussion on target. Any member can remind the group, "Aren't we trying to diagnose the problem at this stage? Why are we talking about solutions?"

The model is also a reminder that a group has not finished its work when it decides on the best solution. Without the framework of the model, it is all too easy to forget the followthrough—the implementation and evaluation planning—that makes the solution a reality.

Questions and comments

☛ Ask the participants for questions and comments about the model.

Distribute Handout 1, a hard copy of key points from the slide talk, for reference.

HANDOUT 1

A Group Problem-Solving Model

PROBLEM SOLVING: A SIX-STEP PROCESS

A problem-solving model helps to

- Air everyone's concerns
- Look beyond symptoms
- Explore all solutions
- Anticipate problems
- Follow through
- Work productively

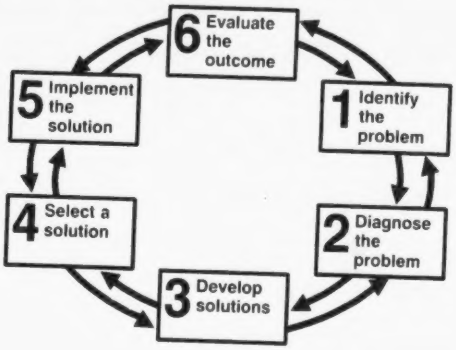
Introduction A problem-solving model is a **conceptual framework** for addressing problems, not a formula for solving them.

People are the actual problem solvers. But groups of people usually need an agreed-upon framework to keep them focused and on task. Without a model, groups may fail to

- air everyone's concerns and ideas
- delve beyond symptoms to causes and root problems
- explore the full range of solutions, selecting a technically sound solution acceptable to all concerned
- anticipate adverse impacts
- follow through on steps needed to effect the solution
- work together productively
- solve problems

Problem-solving models range from highly sophisticated technical models to relatively simple ones. The six-step problem-solving model presented here is easy to remember yet comprehensive enough to help a group address all but the most technical problems.

Problem-solving process



Overview

The sequence begins with "1. Identify the problem" and proceeds clockwise through six steps. The steps are arranged in a circle to emphasize the **cyclic, continuous nature** of the problem-solving process. The model has several important characteristics:

- There are no branches or choice points. All six steps are required in the order shown. When one step is completed, your group proceeds clockwise to the next step.
- The steps are repeatable. At any step, your group may decide to go back and repeat an earlier step. Diagnosing a problem, for instance, can lead back to redefining the problem.
- The process is continuous. Simply implementing a solution does not end the process. Evaluating that solution may identify new aspects of the problem or new problems that need to be addressed, leading the group to a new step 1.

Though the steps have discrete names, there is no clear demarcation between them. Identifying and diagnosing a problem frequently overlap. Selecting a solution may prompt the group to refine a solution or to develop additional ones. Evaluation mechanisms may suggest changes in the implementation plan.

Since the process is continuous, with some "recycling," a group can monitor the environment in which a solution is to be introduced; take into account other forces, mechanisms, and changes in the organization; and "roll in" any new information that affects the success of the proposed solution.

1

Identify the problem

- **Identify the symptoms**
- **Determine urgency, how widespread**
- **Make a tentative definition of the problem**

Step *1*

The first step, identifying the problem, is a broad review of the current situation—a fitting together of information, like pieces of a puzzle.

In this first stage, a group identifies and discusses the symptoms and scope of the problem. That is, it determines what "hurts," to what degree the symptoms are shared, and the urgency of relieving the symptoms.

You'll use **tools** such as brainstorming, interviewing, and questionnaires to gather this information.

As you go through this step, you'll find yourselves raising, reviewing, and discarding **statements of the problem** as you sort out what are merely symptoms and look behind those symptoms to make a tentative definition of the underlying problem.

2 Diagnose the problem

- Gather information
- Determine the causes
- Restate the problem

Step *2*

Once you recognize the symptoms and have tentatively defined the problem, your group can begin to collect information about the nature of the problem. At this step, you may use tools such as cause and effect analysis or Pareto analysis to help you organize information and zero in on underlying causes.

This is the stage in which you determine the root causes of the problem. When you restate the problem, your definition will reflect the causes. Your efforts over the next two steps can thus be directed to finding solutions that address the roots of a documented problem, not merely its random symptoms.

3

Develop solutions

- List all potential solutions
- Relate each to the causes of the problem
- Merge similar or related solutions

Step *3*

Once you've defined a problem, your "knee jerk" reaction may be to jump toward a particular solution. But creative problem solving requires you to **explore a full range** of viable solutions. To assemble a variety of solutions from which to choose, you must

- **generate** as many potential solutions as possible,
- **relate** each to the causes of the problem, and
- **merge** similar or related solutions.

At this stage, you're still not ready to select the best solution. You simply want to narrow the field, reduce redundancy, and eliminate any possibilities that don't address the causes you identified earlier. Force field analysis is a good **tool** for preliminary screening of this solution field.

4

Select a solution

- Determine technical quality
  - Time
  - Cost
  - Reliability
  - Efficiency
  - Adaptability

Step *4*

In the fourth step, evaluate each potential solution for its strengths and weaknesses. Selecting a solution is a search for the most **effective** solution by applying two general criteria. An effective solution

- has sufficient **technical quality** to resolve the problem and
- is **acceptable** to those who will have to implement it.

Ask these questions when evaluating the **technical quality** of a proposed solution:

☐ Can it be implemented in a reasonable **time**?

☐ Can it be done within **cost** limits?

☐ Will it work **reliably**?

☐ Will it use staff and equipment **efficiently**?

☐ Is it flexible enough to **adapt** to changing conditions?

4 Select a solution

- Determine technical quality
- Determine acceptability
  - Perception of others
  - Manageable risks
  - Personal benefit
  - Organizational benefit

Step *4*
(continued)

When evaluting a solution's acceptability, ask:

☐ Do the implementers support the solution, perceiving it to be worth their time and energy?

☐ Are the **risks** manageable?

☐ Will the solution benefit the **persons** affected by the problem?

☐ Will it benefit the **organization**?

Selecting a solution thus requires you to identify an effective solution—one that has sufficient technical quality to resolve the problem and is acceptable to those who will have to implement it.

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5

Implement the solution

- What action will be taken?
- Who will do it?
- When? For how long?
- Where? How? Why?

Step 5

Choosing a solution doesn't immediately solve a problem. Putting a solution into action may prove as difficult as deciding on one.

The implementation stage requires **action planning**:

- **What** must be done?
- **Who** will do it?
- **When** will it be started? When will key milestones be completed?
- **Where** will the necessary actions take place?
- **How** will the necessary actions be carried out?
- **Why** are these actions a solution?

6 Evaluate the outcome

- **Select measures**
- **Collect data**
- **Report on what has been accomplished**

Step *6* Most groups neglect or shortchange the evaluation step.

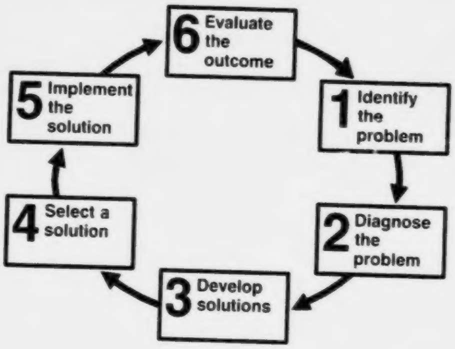
In simplest terms, evaluation is the **monitoring** that any project needs to ensure that milestones are met, costs contained, work completed.

But the more effective groups plan additional **feedback** mechanisms to detect the need for midcourse corrections and to ensure that the problem gets solved without creating new problems.

Collecting data and reporting on what has been accomplished keeps a group credible with its constituents.

Reflecting on its own processes and results keeps a group effective.

A continuous process


6 Evaluate the outcome
1 Identify the problem
2 Diagnose the problem
3 Develop solutions
4 Select a solution
5 Implement the solution

Review

Reflecting on its results helps a group identify its next step, bringing the problem-solving process full circle.

Remember these six steps:

1. Identify the problem.
2. Diagnose the problem.
3. Develop solutions.
4. Select a solution.
5. Implement the solution.
6. Evaluate the outcome.

Keep the six-step model in mind as you work to solve problems. It will prove invaluable in keeping group discussion on target. Any member can remind the group, "Aren't we trying to diagnose the problem at this stage? Why are we talking about solutions?"

The model is also a reminder that a group has not finished its work when it decides on the best solution. Without the framework of the model, it is all too easy to forget the followthrough—the implementation and evaluation planning—that makes the solution a reality.

GROUP PROBLEM SOLVING 3

The Lawn: Problem or Symptom?

Description Participants work in small groups to sift through 25 statements of facts and feelings about a situation. They determine which statements are relevant and use that information to identify the problem to be solved.

Performance objective To differentiate among a problem, its causes, and its symptoms.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
60 minutes total	Materials	For each working group of 4–6 people: ☐ a flipchart and markers ☐ one set of 25 Lawn Statements (Handout 1, pages 41–44), cut apart for distribution ☐ paper and pencil
	Flipcharts	The trainer may wish to prepare flipcharts, indicated by the ✏ symbol, before the workshop.
30 minutes	**The Lawn: Defining the problem**	☛ Tell participants that they will be given data and will have 25 minutes to *identify the problem* from the data given. Divide participants into working groups of 4–6 people. In each group, "deal" out the 25 slips in a set of Lawn Statements as equally as possible.
	Rules for the exercise	✏ Review with the group the following rules, which you may wish to write on a flipchart for reference. 1. Communicate all data orally. Do not exchange lawn statement slips or show them to other members of your group. 2. If all members feel that a statement is not relevant to arriving at the *definition of the problem*, place the statement face down and do not repeat it. 3. Do not take notes during the process. 4. Each group may present only *one* problem definition.

Adapted from "The Lawn: Problem or Symptom?" by William W. Kibler and William T. Milburn, in *The 1983 Annual for Facilitators, Trainers, and Consultants*, ed. Leonard D. Goodstein and J. William Pfeiffer (San Diego), pp. 65–71, with the permission of University Associates, Inc.

☛ Tell the groups to begin.

✏ While the groups are working, prepare a list of the 25 statements on flipchart paper, but do not post it yet.

25 minutes	**Processing the exercise**	☛ After 25 minutes, call time. Distribute a blank sheet of paper and a pencil to each group, and ask each group to write down its definition of the problem.
	Record group definitions of the problem	✏ Collect the groups' problem definitions and copy them on a flipchart. ☛ Ask for a representative from each group to explain how the group arrived at its problem definition.
	Identify the problem	✏ Write on the flipchart the correct problem definition: *How to rid the lawn of grubs* ☛ Post the flipchart list of 25 lawn statements recorded earlier. With participant input, check off the relevant statements, indicating why other data are irrelevant and explaining how the correct answer was reached. (Trainer's Resource 1 provides a guide for this step.)
	Review group process	☛ Ask participants: *What were your reactions to the exercise?* *Did you have difficulty in separating irrelevant data from relevant data?* *How did the groups decide which data were relevant?* *Did any group reach total agreement on the definition of the problem?* *How did the "verbal communication only" rule affect the difficulty of the task?*

5 minutes

Summary: Importance of identifying the problem

“ Accurately identifying a problem is critical to solving it.

Defining "poor morale" as the problem, for example, could lead decisionmakers to solve the problem by solutions as diverse as

- firing all the employees,
- having a company picnic, or
- conducting motivational training.

Poor morale is a *symptom*. The real *problem* may have to do with supervision, narrowly defined jobs, poor materials, lack of tools, lack of recognition, inadequate rewards, and so on. Any of the solutions above might temporarily alleviate the symptom of poor morale, but none of them will *solve* the problem.

Your group needs to test and refine its problem definition, using all the information group members have about the situation. Only when your group has accurately identified the problem can group efforts and resources be applied where they will do the job.

TRAINER'S RESOURCE 1

The Lawn: Problem or Symptom

RELEVANT DATA AND RATIONALE*

All 25 lawn statements are listed below.

Statements most relevant to identifying the problem are indicated by a circled number.

Relevant statements are numbered to indicate one possible path in arriving at a clear definition of the problem: how to rid the lawn of grubs.

In the past, I have always had a beautiful lawn.

① The lawn is dying in spots, and it looks awful. *symptom*

③ The dead spots have ridges. *symptom*

⑦ Moles make ridges. *contributor to the problem*

The lawn has never had ridges before.

I take great pride in my lawn.

My neighbor's lawn does not have dead spots.

My neighbor is making fun of my lawn.

I don't like my neighbor.

④ My lawn does not need water. *possible cause refuted*

⑤ My lawn does not need fertilizer. *possible cause refuted*

My riding mower is broken.

② I want to get rid of the dead spots in my lawn. *contributor to the problem*

Moles have tiny eyes.

Moles have concealed ears.

Moles work in the dark.

⑩ Moles have soft fur and eat grubs. *contributor to the problem*

My neighbor has a mole on his neck.

My main concern is my lawn.

more ⇨

---

* Adapted from "The Lawn: Problem or Symptom?" by William W. Kibler and William T. Milburn, in *The 1983 Annual for Facilitators, Trainers, and Consultants*, ed. Leonard D. Goodstein and J. William Pfeiffer (San Diego), pp. 65–71, with the permission of University Associates, Inc.

My push mower is working fine.

⑨ Moles are eager eaters. *contributor to the problem*

⑥ My lawn has good drainage. *possible cause refuted*

My lawn is frustrating me.

⑧ Moles tunnel in search of food. *symptom*

I do not like moles.

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HANDOUT 1

The Lawn: Problem or Symptom

LAWN STATEMENTS*

Instructions Reproduce one set of the following 25 statements for each working group. Cut the slips apart along the dotted lines.

Distribute the slips evenly among the members of each group.

……

In the past, I have always had a beautiful lawn.

……

The lawn is dying in spots, and it looks awful.

……

The dead spots have ridges.

……

Moles make ridges.

……

The lawn has never had ridges before.

……

---

* Reproduced from "The Lawn: Problem or Symptom?" by William W. Kibler and William T. Milburn, in *The 1983 Annual for Facilitators, Trainers, and Consultants*, ed. Leonard D. Goodstein and J. William Pfeiffer (San Diego), pp. 68–71, with the permission of University Associates, Inc.

I take great pride in my lawn.

My neighbor's lawn does not have dead spots.

My neighbor is making fun of my lawn.

I don't like my neighbor.

My lawn does not need water.

My lawn does not need fertilizer.

My riding mower is broken.

I want to get rid of the dead spots in my lawn.

Moles have tiny eyes.

Moles have concealed ears.

Moles work in the dark.

Moles have soft fur and eat grubs.

My neighbor has a mole on his neck.

My main concern is my lawn.

My push mower is working fine.

Moles are eager eaters.

My lawn has good drainage.

My lawn is frustrating me.

Moles tunnel in search of food.

I do not like moles.

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GROUP PROBLEM SOLVING 4

Brainstorming

Description Participants learn guidelines for brainstorming in a short, slide-illustrated talk and practice the technique in two brief exercises.

Performance objectives To state several guidelines for brainstorming and

To describe the benefits of brainstorming.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
30 minutes total	Materials	☐ a slide projector and screen ☐ 6-slide set, *Guidelines for Brainstorming* For each working group of 5–9 people, ☐ a flipchart and markers For each participant: ☐ paper and pencil ☐ Guidelines for Brainstorming (Handout 1, page 49) ☐ Practice Problem (Handout 2, page 51)
5 minutes	**Introduction to brainstorming**	☛ Tell the group that brainstorming is one of the basic tools of group work. It is used to generate fresh ideas.
	Word association experiment	☛ Make sure everyone has paper and pencil. Then ask participants to engage in a word association experiment, writing down the first word that comes to their minds when you name one of the following categories: • a color • a hero • a fruit • a city • a flower Ask for a show of hands of those who • wrote down the color "red" • wrote down "apple" as the fruit • wrote down "rose" as the flower • wrote down two of those three answers • wrote down all three of those answers

☛ Note that they can expect "red," "apple," and "rose" to occur a disproportionate number of times. The responses to hero and city are not predictable.

Ask the participants why they think so many chose "red," "apple," and "rose" when there are so many other colors, fruits, and flowers to choose from.

Note that we all have a tendency to grab on to the familiar, the accustomed, the "tried and true."

Definition of brainstorming

☛ Tell the group that brainstorming, in contrast to the word asociation they just did, is

> *a technique that helps a group*
> *to "break set," that is, to go beyond*
> *familiar boundaries and associations*
> *to develop new and creative ideas.*

This idea-generation technique is successful to the extent that group members follow five guidelines for brainstorming.

5 minutes	**Slide talk: Guidelines for brainstorming**	☛ Tell the group that you will review the five guidelines for brainstorming using a brief slide program. A suggested script follows:
	Slide *1*	“ Guidelines for Brainstorming
	Slide *2* Don't critique ideas.	“ First, no criticism. Don't take time now to evaluate ideas. You'll slow the group's creative energies and discourage contributions. Evaluation is a later step in the problem-solving process. Also, don't discourage contributions with judgments like *That is ridiculous!* *We've already tried that!* *Who ever heard of that?* Such comments prevent your group from hearing a full range of ideas. An idea that seems unreasonable on first hearing may contain the germ of your eventual solution.
	Slide *3* Use freewheeling imagination.	“ Use freewheeling imagination. Make mental leaps and connections freely. Share images, fantasies, synonyms, plays-on-words, free associations, farfetched ideas. Break set. Don't prevent ideas from emerging by adhering rigidly to *logical* thinking. Don't feel bound at this stage by budget, time, or staff constraints.
	Slide *4* Build on others' ideas.	“ Build on others' ideas. Combine ideas, expand on them, hitchhike, piggyback one idea on another.
	Slide *5* Aim for quantity.	“ Aim for quantity. The more ideas that can be brought out, the better. Don't worry about duplication or quality. You're trying to develop the widest possible range of possibilities.
	Slide *6* Record each idea.	“ Record each idea on flipchart paper as it is presented. Try to keep it brief but faithful to the wording of the presenter.
	Questions	☛ Ask for questions or comments on brainstorming.

10 minutes **Brainstorming practice: Kinds of birds**

☛ Ask the group to practice the brainstorming technique as a large group, with you acting as recorder.

Specifically, ask the group to name every kind of bird they can think of. This task will reinforce the requirement for quantity of ideas.

Write quickly so as not to slow down the rapid fire of suggested kinds of birds.

Allow the brainstorming to continue until it has resulted in several examples of breaking set, such as "jailbird," "bird brain," "two-under-par birdie," "Big Bird," "Baltimore Orioles."

Commend participants for the large number of birds (could any one individual have come up with so many?), and ask them if they can identify from the recorded list when they first broke set.

10 minutes **Using brainstorming in problem solving**

☛ Note that brainstorming is an effective technique for bringing out the creativity of a problem-solving team. It can be used effectively at several stages:

- to produce a list of problem areas,
- to identify possible causes of a problem, and
- to generate as many potential solutions as possible.

Practice problem

☛ Divide participants into working groups of 5–9 people. Tell them that they will be practicing brainstorming to generate solutions to a problem.

Distribute Handout 2, the Practice Problem. Ask each group to select a recorder and to generate as many potential solutions to the problem as possible in 5 minutes.

Report out

☛ If there is more than one working group, ask for a brief report on the quantity and creativity of the ideas generated.

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HANDOUT 1

Brainstorming

GUIDELINES FOR BRAINSTORMING

1. **Don't critique ideas.**
   Don't take time to evaluate ideas; it interrupts the flow of ideas. Evaluating ideas is another, later step in the process.

   Don't kill or discourage contributions with judgmental remarks such as
   That is ridiculous! or
   We've already tried that! or
   Who ever heard of that?

2. **Use freewheeling imagination.**
   Let your mind work freely. Don't prevent ideas from emerging by rigidly adhering to logical thinking. Don't feel bound by budget, time, staff, or other resource constraints. Share mental images, synonyms, plays-on-words, free associations, farfetched ideas.

3. **Build on others' ideas.**
   Combine, expand, hitchhike, piggyback.

4. **Aim for quantity.**
   The more ideas you can bring out, the better. Don't worry about duplicates. You are not aiming for quality at this point, only quantity.

5. **Record each idea.**
   Record each idea on flipchart paper exactly as it is presented. Try to keep it brief but faithful to the wording of the presenter.

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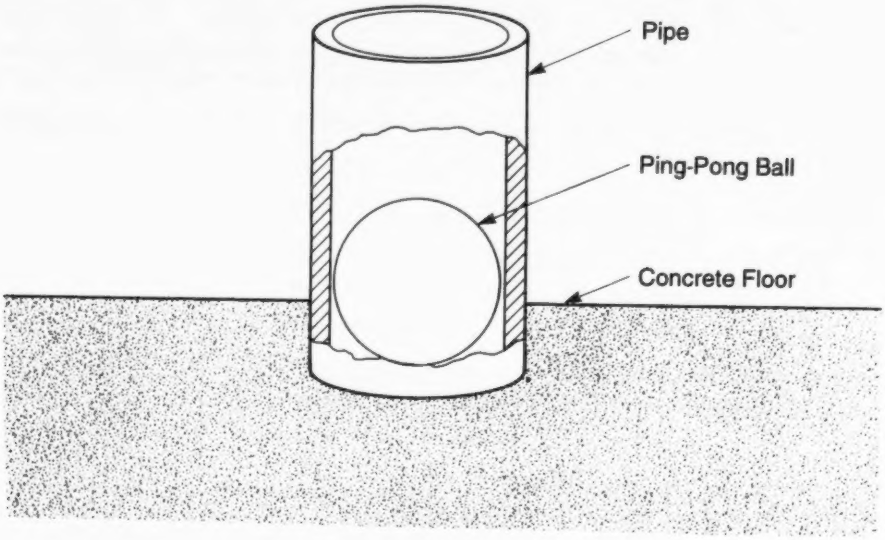
HANDOUT 2

Brainstorming

PRACTICE PROBLEM

A steel pipe (shown in cross section below) is embedded in the concrete floor of a bare room. The inside diameter of the pipe is .06″ larger than the diameter of a ping-pong ball (1.50″) that is resting at the bottom of the pipe.



You and your group are in the room with the following objects:

- 100′ of clothesline
- a carpenter's hammer
- a box of Wheaties
- a chisel
- a file
- a wire coat hanger
- a monkey wrench
- a light bulb

In 5 minutes, list as many ways as you can think of to get the ball out of the pipe without damaging the ball, pipe, or floor.

Select a recorder from the group to write down group members' suggestions.

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GROUP PROBLEM SOLVING 5

Cause and Effect Analysis

Description Participants learn cause and effect analysis and use the "fishbone" diagram to diagnose a real problem.

Prerequisite: Participants will have experience in brainstorming.

Performance objectives To describe the uses of cause and effect analysis and

To use a cause and effect (fishbone) diagram to brainstorm causes and identify root causes.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
45 minutes total	Materials	For each working group of 5–9 people, ☐ a flipchart and markers For each participant, a copy of: ☐ Fishbone Diagram (Handout 1, page 59) ☐ Group Instruction Sheet (Handout 2, page 61)
	Flipchart	The trainer may wish to prepare the suggested flipchart, indicated by the ✏ symbol, before the workshop session.
5 minutes	**Introduction to cause and effect analysis**	☛ Introduce the technique by highlighting the following points: “ Cause and effect analysis is a systematic way of looking at effects and the causes that create or contribute to those effects.
	What are effects?	“ Generally, effects are statements about the way things are—descriptions of a problem needing correction. But effects may also be *desired results*—that is, how you want things to be when the problem has been solved.
	Uses of the technique	“ Thus, cause and effect analysis can be useful at two stages in the problem-solving process: • diagnosing a problem • implementing a solution

Review of the fishbone diagram

✏ Using two flipchart stands so that you have more space than one flipchart affords, draw a blank fishbone diagram (see Handout 1).

☛ Describe the cause and effect analysis process as follows:

“ Cause and effect analysis is usually shown in a diagram known as a fishbone diagram, because of its shape, or, less commonly, as an Ishikawa diagram, after its inventor, Dr. Kaora Ishikawa, the Japanese quality-control statistician.

The effect to be analyzed is written to the right on the diagram, in the "fish head."

Along each of the "bones," the group records the specific factors that group members consider to be possible causes of the effect. Brainstorming is a common method of identifying these factors.

Four categories

“ To help organize your group's thinking, these factors or causes can be grouped in four categories.

In manufacturing, the four categories are often referred to as the four Ms—machine, materials, methods, and manpower. As an alternative, you can refer to the set of factors as two Ms and two Ps—machine, materials, process, and people.

Once you've identified all of the possible contributing factors, identify the *most significant* factor or factors. To verify that these are indeed the *root* causes, you should collect additional data to verify the causal relationship.

Diagnosing the problem

“ Cause and effect analysis thus helps to diagnose a problem—to trace it back to its root causes. It's the root causes that need to be clearly identified and understood before a group begins to identify and implement solutions.

15 minutes

Practice in cause and effect analysis

☛ Tell participants that you are going to practice the cause and effect analysis technique, first on a hypothetical problem and later on a real problem their workplace group needs to address.

Using the two-chart-wide fishbone diagram you explained to them earlier, analyze a simple problem that most people can identify with:

> *A copying machine never seems to be "available" when needed.*

Write this effect in the "effect" box.

Brainstorming causes

☛ Have the group brainstorm a list of possible causes under each of the four headings—machine, materials, process, and people:

> *What in the machine is causing the problem?*

Possible answers include age, inadequate maintenance schedule, low volume capacity, complexity, slow operation, no collator . . . .

> *What in the materials is causing the problem?*

Possible answers include unavailability of paper, wrong paper, toner supply . . . .

> *What in the process is causing the problem?*

Possible answers include illegible instructions, people collating manually on the machine, no use schedule, no priority guidelines, too many copies allowed . . . .

> *What in the people category is causing the problem?*

Possible answers include untrained users, too many users, too much socializing around the machine, people using the machine for nonbusiness copying, people leaving the machine unattended, people failing to notify maintenance when the machine begins to produce bad copies . . . .

Identifying root causes

☛ Once the diagram is filled with potential causes, have participants scan the diagram for causes that *appear repeatedly*. Circle these—they could prove to be root causes.

Continue to search for root causes by asking *Why?* of each cause contributed in the brainstorming, working back to the causes (or roots) of the causes you've listed.

Note that the group will still need to *verify* the likely root causes by collecting additional data on those causes. If the data do not substantiate those likely root causes, the group may have to collect data on some of the less likely causes on the diagram.

25 minutes

Applying cause and effect analysis

☛ Divide participants into working groups of 5–9 people.

Distribute to each participant a copy of Handouts 1 and 2, the Fishbone Diagram and the Group Instruction Sheet.

Tell the groups that they will be applying cause and effect analysis to a workplace problem of their choice.

Review the instruction sheet with the groups. Note in particular task 7, which requires them to describe briefly the *method* they will use to verify the root cause they elect to address.

Tell the groups they will have 20 minutes to complete their work.

Report out

☛ If there is more than one working group, ask each group to share its cause and effect diagram with the other groups and respond to any questions the others may have.

Ask the groups to pay particular attention to

- how each group determined the root cause from all of the contributing factors listed and
- what data each group will be collecting to verify that the root cause it has chosen is the correct one.

Review of uses for the technique

☛ Remind the groups that cause and effect analysis is a useful tool in

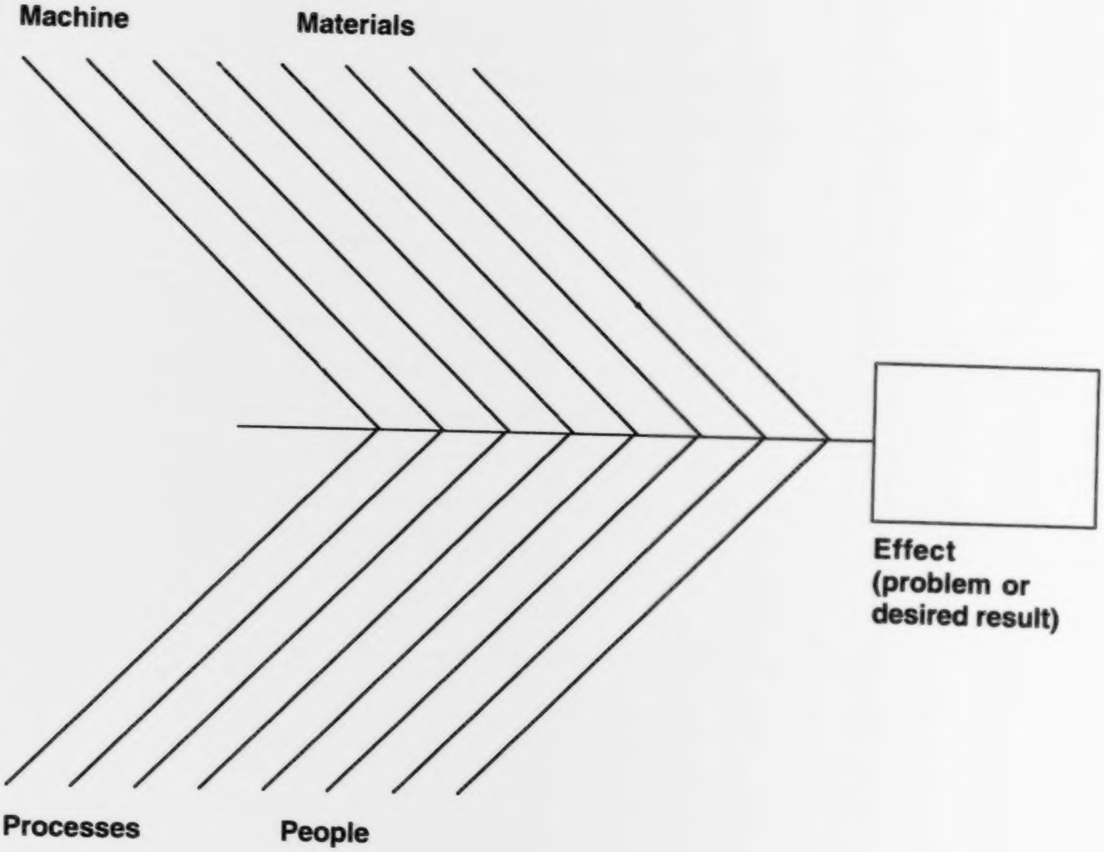
- diagnosing a problem and
- implementing a solution.

In the implementation planning stage, the fishbone diagram can help a group brainstorm all of the requirements or factors needed to bring about the recommended solution, or effect.

HANDOUT 1

Cause and Effect Analysis

FISHBONE DIAGRAM


Machine
Materials
Processes
People
Effect
(problem or
desired result)

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HANDOUT 2

Cause and Effect Analysis

GROUP INSTRUCTION SHEET

1. Select a real problem that the workplace group is working on or knows must be addressed.
2. Select a recorder.
3. Draw a fishbone diagram on the flipchart.
4. Write the problem you will be analyzing in the "effect" box.
5. Brainstorm *contributing factors* or potential causes under four categories:
    - machine
    - materials
    - process
    - people
6. Circle the likely *root causes*, selecting those that
    - appear more than once on the diagram or
    - contribute to other contributing factors.
7. Determine the *method* that the group will use to verify which cause is indeed the root cause.

GROUP PROBLEM SOLVING 6

Pareto Analysis

Description Participants learn Pareto analysis and apply the technique to identify significant causes of an actual problem.

Performance objectives To draw a Pareto diagram, given pertinent data, and

To describe the benefits of Pareto analysis in determining priority causes in problem solving.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
60 minutes total	Materials	For each working group of 5–9 people: ☐ a flipchart and markers ☐ a handheld calculator ☐ graph paper and pencils For each participant, a copy of: ☐ Steps in Pareto Analysis (Handout 1, pages 75–78) ☐ Group Instruction Sheet (Handout 2, page 79)
	Flipcharts	Before the workshop session, you may wish to prepare on flipchart paper a partial checksheet, data table, and graph (see Trainer's Resource 1) to refer to and to complete as you explain the three steps of the sample analysis.

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5 minutes

Uses of Pareto analysis

☛ Introduce the analysis technique by covering the following points:

The "vital few"

“Pareto analysis is a technique that separates the "vital few" from the trivial many. In solving problems, your group can use Pareto analysis

- to narrow a list of potential causes and
- to determine the priority causes that should be addressed first.

Once you have collected some data about possible problems or causes, a Pareto diagram lets you examine those data in a systematic way. Pareto analysis *ranks* data, presenting them in a bar graph. By revealing which problems are the greatest or which causes are the most important, a Pareto analysis can help a group set its priorities for action.

Pareto analysis, named for 19th-century economist Vilfredo Pareto, is designed to point out *inequalities*. The familiar 80–20 rule—that 80 percent of our business comes from 20 percent of our customers—is an example of Pareto analysis.

Introduction to the sample problem

☛ Tell the group that you are going to walk them through a Pareto analysis, building on the problem used in the earlier session* on cause and effect analysis:

> *A copying machine never seems to be "available" when needed.*

Tell them that you will be using Pareto analysis to decide which of the causes to attack first. Ask them to assume that the root causes they tentatively identified earlier were the following:

- running out of supplies
- need to establish priority guidelines
- too many copies allowed
- machine providing poor copies
- machine not operating

✏ Write these root causes on a flipchart for reference.

Completing the sample

☛ As you review the steps in Pareto analysis, you will be asking participants to complete checksheet tallies, a table, and a graph, which have been partially filled out in their handout. Trainer's Resource 1 contains the completed versions of these items.

---

* Participants need not have completed *Cause and Effect Analysis* to learn Pareto analysis. The problem statement and sample root causes provided here provide a basis for beginning a Pareto analysis. However, many trainers find it helpful to introduce a relatively simple technique like cause and effect analysis before introducing the more complex Pareto technique.

5 minutes

Step *1*
Data gathering and computation

☛ Distribute Handout 1. Explain that the handout provides a model of the three steps in Pareto analysis. Steps 2 and 3 are partially completed; participants will complete them as you talk them through the steps.

Describe the first step of the analysis process:

Basic questions

“ The first step in analyzing the causes of a problem is to plan the data gathering. Who will gather the data? Using what method? For how long? How will you quantify the information?

Assume that you have decided to post a checksheet at the copier for 2 weeks to let users self-report their problems. Depending on how the data collection turns out, you may agree you have enough data or you may decide you need to refine and repeat the data-gathering process.

Standard unit of measure

“ To gather meaningful data, examine the possible causes to determine a standard unit of measure that will let you compare causes.

For a copy shop, a standard unit of measure might be the number of dollars lost in jobs turned away when the copier is unavailable for a particular reason. Other measures include hours of machine downtime or number of copies postponed. The easiest measure for this example is number of times a given cause occurs, also called the *frequency*.

Checksheet

“ Turn to the sample checksheet on page 2 of the handout. Note that the tentative causes, listed earlier on a flipchart, are *restated* so that copier users can make *discrete* choices when reporting. For instance, "machine not operating" has been accounted for with two checksheet questions, numbers 8 and 9, which will help distinguish between causes that might be affected by training and those that might only be remedied by replacing the copier or establishing a service contract.

The checksheet has been filled out to look as it might after 2 weeks posted at the copier.

10 minutes

Step 2
Tallying and transferring data

☛ Note that the tic marks under each cause have been totaled on the checksheet and that the totals appear in circles.

Refer participants to step 2 on Handout 1, tallying data. Continue describing the process as follows:

Column 1

“ Once the data have been totaled, the next step is to **rewrite the list of causes** in order from most frequently occurring to least frequently occurring. This list forms column 1 of a data table from which you will build your Pareto diagram. Item 5 on the checksheet occurred most frequently, so it has become the first cause in the data table.

Column 2

“ **Transfer the number of occurrences** of each cause from the checksheet to column 2 of the new table. This has also been done, and the total occurrences of all causes have been found to be 141.

Column 3

“ The next step is to **calculate how much of the problem each cause contributes.** That is, divide each cause's number of occurrences, or frequency, by 141, the total for all causes, and write the percentage in column 3.

☛ Ask participants to calculate the remaining percents in column 3. Note that column 3 should total 100%. Continue describing the process as follows:

Column 4

“ Use column 4 to **calculate the cumulative effect of the causes**—a running total of the percentages. The first cause accounts for 29% of the problem; the first and second causes together account for 29% + 23%, or 52% of the total occurrences of all causes.

☛ Ask participants to complete column 4.

Note that you can already see from the table that over half—52%—of the difficulties encountered during a 2-week period are attributable to just two of the causes.

15 minutes

Step 3
Graphing the data

☛ Refer participants to step 3 on the handout, and describe this step as follows:

“ Now you are ready to display the data in a Pareto diagram. Step 3 in your handout shows a partially completed Pareto diagram.

Vertical axis

“ Vertical and horizontal axes have been drawn. The vertical axis is labeled with the chosen standard unit of measurement—frequency. The scale should run from 0 up to the total number of occurrences. (When you are doing a Pareto diagram for a workplace problem, you will find it helpful to work on graph paper.)

Plotting the bars

“ From left to right, along the horizontal axis, you will construct a series of bars, one for each cause listed in the step 2 data table, starting with the most frequently occurring cause and ending with the least frequently occurring. Each bar's height corresponds to the frequency of occurrence of the cause it represents. Bars have already been drawn for the first three causes. Draw the bars for causes 4–9, using the data from the step 2 data table.

Drawing the cumulative line

“ The cumulative line is an "overlay" on the bar graph. At the right side of the graph there is a second vertical scale, running from 0 to 100%, with the 100% point at the same height as total occurrences. Using this scale, plot a point above each bar for the cumulative percentage (from the last column of the step 2 data table.) Three of these points have already been plotted. Plot the points for causes 4–9, and connect the points to form the cumulative line.

Interpreting the diagram

“ The bars alone show the relative importance of each cause. The cumulative line makes more graphic the idea of what proportion of a problem's occurrences are attributable to which causes. The first two causes together account for 74 of the observations—52% of the copier problems observed during the 2-week period. With such a diagram, your group can see where to focus its energies in developing solutions.

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25 minutes	**Practice in Pareto analysis**	☛ Ask participants to form working groups of 5–9 people. Have each working group select a problem the workplace group has addressed or is about to address and conduct a Pareto analysis on that problem. Distribute a copy of Handout 2, the Group Instruction Sheet, to each participant. Review with the groups the steps on the instruction sheet. Tell the groups that they have 20 minutes to complete their work, and ask them to begin.
	Report out	☛ If there is more than one working group, ask each to present its Pareto analysis and respond to any questions.
	Review of uses for the technique	☛ Remind participants that Pareto analysis is a tool for organizing and analyzing data that is especially appropriate in the problem diagnosis phase of group problem solving. On the principle that the vital few causes often account for the bulk of the problem, Pareto analysis is effective in calling attention to the most significant problems or causes of a problem. It thus encourages a group to narrow its focus and take the actions most likely to remedy a problem.

TRAINER'S RESOURCE 1

Pareto Analysis

COMPLETED STEPS IN COPIER AVAILABILITY ANALYSIS

The following pages illustrate the

- checksheet tallies,
- completed data table, and
- completed Pareto diagram

for the copier availability illustration described in the script.

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Step *1* *Trainer's sample checksheet, with tic mark totals*

ATTENTION COPIER USERS

Please help us to clarify the problem with this copier.

CHOOSE ONE. Whenever you use the copier, put a tic mark under the **ONE** statement that **BEST** describes your experience. This survey will continue for 2 weeks, from _______ to _______.

(262) 1. I had **no problem** or delay getting the copies I wanted. 𝍸 𝍸 𝍸 𝍸 𝍸 𝍸 𝍸 𝍸
𝍸 ||
𝍸 𝍸

(6) 2. I made my copies, but they were not good **quality**.
𝍸 |

(12) 3. I couldn't make copies because there was **no copier paper**.
𝍸 𝍸 ||

(4) 4. I couldn't make copies because there was **no toner**.
||||

(41) 5. There were other users ahead of me, but I had to **wait less than 5** minutes.
𝍸 𝍸 𝍸 𝍸 𝍸 𝍸 𝍸 𝍸 |

(15) 6. There were other users ahead of me, and I had to **wait 5 or more** minutes.
𝍸 𝍸 𝍸

(7) 7. I had a **priority job**, and I had to wait behind other users or break in line to get my job done.
𝍸 ||

(20) 8. The copier malfunctioned while I was using it, but **I was able to fix** it using the instruction cards.
𝍸 𝍸 𝍸 𝍸

(33) 9. The copier was not operating or malfunctioned while I was using it, and **I was unable to fix** the error.
𝍸 𝍸 𝍸 𝍸 𝍸 𝍸 |||

(3) 10. **None of the above** describes the problem I had with the copier.
|||

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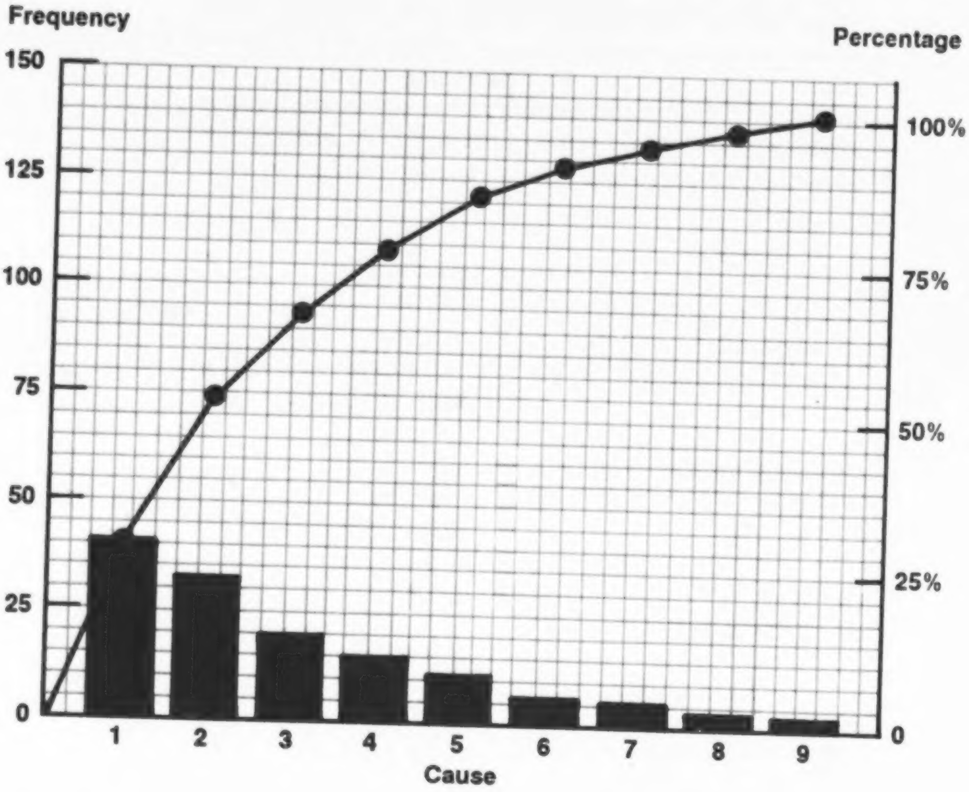
Step 2 *Trainer's completed data table, showing how results were calculated*

Data Table: Copier Availability over 2-Week Period

Cause (why copier was unavailable)	Number of occurrences	Percentage of total occurrences	Cumulative percentage
1. Wait, < 5 minutes	41	29% (41 ÷ 141)	29%
2. Malfunction, not user fixable	33	23% (33 ÷ 141)	52% (29% + 23%)
3. Malfunction, user fixable	20	14% (20 ÷ 141)	66% (52% + 14%)
4. Wait, ≥ 5 minutes	15	11% (15 ÷ 141)	77% (66% + 11%)
5. Paper supply	12	9% (12 ÷ 141)	86% (77% + 9%)
6. Priority job delayed	7	5% (7 ÷ 141)	91% (86% + 5%)
7. Copy quality	6	4% (6 ÷ 141)	95% (91% + 4%)
8. Toner supply	4	3% (4 ÷ 141)	98% (95% + 3%)
9. Other	3	2% (3 ÷ 141)	100% (98% + 2%)
Totals	141	100%	

Step *3* *Trainer's completed Pareto diagram, with cumulative line*



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HANDOUT 1

Pareto Analysis

STEPS IN COPIER AVAILABILITY ANALYSIS

The following pages describe the steps in Pareto analysis, using as an example the problem,

A copier never seems to be "available" when needed.

Assume that the root causes tentatively identified earlier include:

- running out of supplies
- need to establish priority guidelines
- too many copies allowed
- machine providing poor copies
- machine not operating

Step *1* **Gather data** on causes tentatively identified as root causes of the problem. To do this, decide:

- **Who** will gather the data?
  One or more observers or interviewers? Self-reporting by persons affected? Other?
- What data-gathering **method** will be used?
  Inspection of records? Interviews? Survey? Observation? Other?
- **How long** will you collect data?
  Spot check at regular intervals over a period of time? One full cycle of the process in question? Test period with longer period to follow if more data are needed? Other?
- What **standard unit of measurement** can you use so that data can be compared?
  Staff hours expended? Income foregone? Cost of replacement? Hours of downtime? Units not produced? Frequency of cause or problem occurring? Other?

See back of this page for a sample checksheet.

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Sample checksheet for employee self-reporting of problems with copier

ATTENTION COPIER USERS

Please help us to clarify the problem with this copier.

CHOOSE ONE. Whenever you use the copier, put a tic mark under the **ONE** statement that **BEST** describes your experience.

This survey will continue for 2 weeks, from _______ to ________.
Pat Smith can answer any questions you may have about the survey.
Thank you for your help.

(262) 1. I had **no problem** or delay getting the copies I wanted. 卌 ||

⑥ 2. I made my copies, but they were not good **quality**.

卌 |

⑫ 3. I couldn't make copies because there was **no copier paper**.

卌 卌 ||

④ 4. I couldn't make copies because there was **no toner**.

||||

㊶ 5. There were other users ahead of me, but I had to **wait less than 5** minutes.

卌 卌 卌 卌 卌 卌 卌 卌 |

⑮ 6. There were other users ahead of me, and I had to **wait 5 or more** minutes.

卌 卌 卌

⑦ 7. I had a **priority job**, and I had to wait behind other users or break in line to get my job done.

卌 ||

⑳ 8. The copier malfunctioned while I was using it, but **I was able to fix** it using the instruction cards.

卌 卌 卌 卌

㉝ 9. The copier was not operating or malfunctioned while I was using it, and **I was unable to fix** the error.

卌 卌 卌 卌 卌 卌 |||

③ 10. **None of the above** describes the problem I had with the copier.

|||

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Step 2 **Tally and transfer data to data table.**

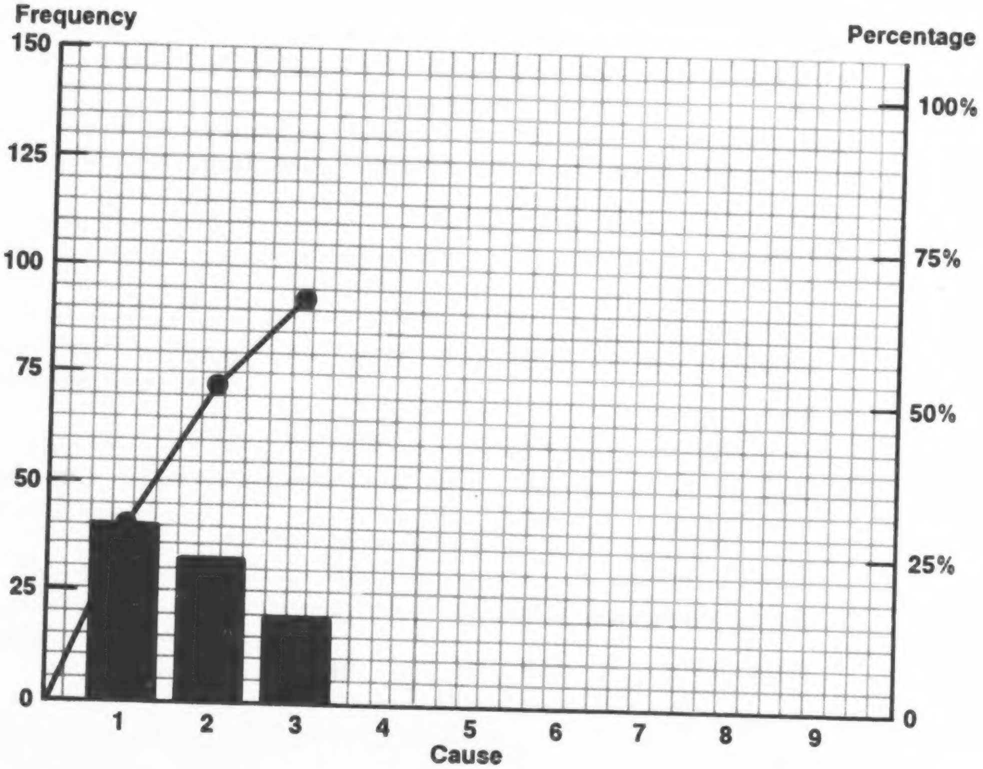
- Add up the tic marks under each of the proposed causes. Omit the "no problem" group since it doesn't represent a problem. (It does, however, provide a baseline to help you assess the scope of the problem and how much effort to expend on it.)
- Rewrite the cause list, putting the causes in order from most to least frequently cited. This list becomes column 1 in a data table from which you will build a Pareto diagram. Transfer the total for each cause from the checksheet to column 2 of the table. Total column 2. (This has been done below.)
- Divide each number in column 2 by the column 2 total and write the result as a percentage in column 3. This percentage represents the proportion of the problem that each cause contributes. (Calculate the percentages for causes 4–9 below.)
- In column 4, record the running total of percentages from column 3. (Complete the cumulative percentage column below.)

Data Table: Copier Availability over 2-Week Period

Cause (why copier was unavailable)	Number of occurrences	Percentage of total occurrences	Cumulative percentage
1. Wait, < 5 minutes	41	29%	29%
2. Malfunction, not user fixable	33	23%	52%
3. Malfunction, user fixable	20	14%	66%
4. Wait, ≥ 5 minutes	15		
5. Paper supply	12		
6. Priority job delayed	7		
7. Copy quality	6		
8. Toner supply	4		
9. Other	3		100%
Totals	141	100%	

Step 3 Convert data to bar chart and plot cumulative line.

- Label the left vertical axis "Frequency" (or other standard unit of measurement). The scale must be high enough to include the total frequencies of all causes analyzed (here, 141).
- Along the horizontal axis, construct a bar for each cause or factor, with the height of the bar indicating the freqency of occurrence of the cause. Display the bars in descending order of frequency: The leftmost bar will represent the highest frequency cause, and the rightmost bar, the lowest frequency. (Bars for three causes are drawn. Draw the remaining bars.)
- Label the right vertical axis "Percentage." 100% on this scale should be level with the total frequency (here, 141) on the left vertical scale.
- Above each bar, plot the cumulative percentage represented by the cause and all preceding causes. Connect these points in the cumulative line. (Three of these points have been plotted and the cumulative line begun. Plot the remaining six points, and complete the line.)



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HANDOUT 2

Pareto Analysis

GROUP INSTRUCTION SHEET

1. **Gather data.**
   - Identify at least five causes or factors contributing to the problem you have selected.
   - Assume that the standard unit of measurement is frequency of occurrence, and assign a "best guess" number of occurrences (for the coming month) to each of the five or more causes. Your best guess should reflect your judgment regarding the relative importance of each factor. Compute the total number of occurrences.
2. **Tally and transfer data.**
   - List the five causes in order from most frequently occurring to least frequently occurring.
   - Compute the percentage of the total occurrences that each cause or factor represents.
3. **Graph the data in a Pareto diagram, including a cumulative line.**
   - On graph paper, draw a vertical axis high enough to represent the total occurrences. Label it "Frequency."
   - On the horizontal axis, construct a bar for each cause or factor, with the height of the bar indicating the frequency of occurrence. Draw the bars in descending order of frequency: The leftmost bar will represent the largest category, and the rightmost bar, the smallest.
   - Draw a vertical scale on the right of the graph, labeled "Percentage." Plot the cumulative percentage for each cause or factor, and draw a cumulative line through those plot points.

GROUP PROBLEM SOLVING 7

Force Field Analysis

Description	Participants learn force field analysis and apply the technique in developing a strategy for implementing a planned solution. *Prerequisite:* Participants will have experience in brainstorming.
Performance objectives	To describe the application of force field analysis in selecting and implementing solutions, To diagram the force field surrounding a planned change, and To develop strategies for altering some of the forces.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
60 minutes total	Materials	For each working group of 5–9 people, ❑ a flipchart and markers For each participant, a copy of: ❑ Force Field Diagram (Handout 1, page 89) ❑ Group Instruction Sheet (Handout 2, page 91) ❑ Kurt Lewin's Force Field Analysis (Handout 3, pages 93–96)
	Flipchart	The trainer may wish to prepare the suggested flipchart, indicated by the ✏ symbol, before the workshop.

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10 minutes **Introduction to force field analysis**

☛ Introduce the uses of force field analysis by covering the following points:

Forces affecting change

“ Solving problems involves changing the status quo, closing the gap between the problem and the solution, between the present state and some desired future state. Though your group may have been set up to help your organization make a change, there nevertheless may be organizational and individual needs and forces hindering that change.

Force field analysis, a tool developed by organizational researcher Kurt Lewin, can be used to identify the forces that help and those that hinder a change.

Troubleshooting

“ Force field analysis is a method of addressing both the *driving* and the *restraining* forces coming into play when your group attempts to implement a solution to a problem. It thus provides a tool for troubleshooting various solutions and the strategies for putting those solutions in place.

Use of diagram

“ The analysis is done with a diagram, a graphic technique that helps

- to trigger ideas,
- to record brainstormed ideas,
- to illustrate the strengths of driving and restraining forces,
- to reveal any need to amend a proposed solution, and
- to consider driving and restraining forces in developing implementation strategies.

Explanation of diagram

✏ Copy the diagram from Handout 1 to a flipchart and explain it to the group as follows:

“ The vertical line in the center of the force field diagram represents the *status quo*—what currently exists, the situation as it is.

The box in the lower right of the diagram contains the *solution statement*, the desired state the group is trying to reach.

The arrows on either side of the vertical line and directed toward it represent *opposing forces*, which account for the status quo line being where it is.

Changing the equilibrium

“ The *driving forces* on the left and the *restraining forces* on the right are in balance. But the equilibrium can be shifted in the direction of positive change in one of three ways:

1. by strengthening or adding new driving forces,
2. by reducing or removing some of the restraining forces, or
3. by changing the direction of the restraining forces.

Three key principles

“ Note three key principles for changing forces:

1. Concentrating solely on strengthening or adding driving forces often results in *increasing the tension*, which in itself may reduce the anticipated benefit of the proposed change.
2. Attempting to induce change by removing or eliminating restraining forces will generally *reduce tension and effect more stable changes*. Restraining forces that are removed cannot push for a return to old ways of doing things.
3. One of the most efficient ways to make change happen is to *change the direction* of one of the forces. Turning around a force perceived as restraining provides great impetus toward the desired state. For example, management disapproval may be one of the restraining forces a group perceives it has to counter. Engaging management commitment and support turns that restraining force into a driving force.

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more ⇨

15 minutes

Practice in force field analysis

☛ Tell the group that you are going to practice using force field analysis. Using the force field diagram you have drawn on the flipchart, write the following "solution" in the solution statement box:

> *Form a labor–management committee.*

Brainstorming forces

☛ Ask the group to brainstorm some driving and restraining forces affecting the proposed solution of forming a labor–management committee. Record these forces on the arrows, writing the driving forces to the left of the "status quo" line and the restraining forces to the right.

Some **driving forces** might be:

- Top management has good credibility with union leadership.
- Union leaders respect top management.
- Another joint venture in employee health was very successful.
- Both union and management recognize the need for a mechanism to improve operational effectiveness.
- The last contract negotiation left both sides feeling positive.

Some **restraining forces** might be:

- First-line supervisors will feel threatened.
- It is difficult to find time to release hourly employees for meetings.
- Nonmanagement employees will be seen as "sucking up" to management.
- Nonmanagement employees have had no experience in working on a team.
- Nonmanagement employees lack knowledge and skills in problem solving and planning.
- Union officials are politically vulnerable.
- Despite the recent joint venture, the company has a long history of nonparticipative management.

Weighting the forces

☛ Ask participants to assess the relative strengths of both the driving and restraining forces they have identified, using the following suggested scale:

5 = very strong
4 = strong
3 = medium
2 = low
1 = weak

You can represent these strengths graphically by using arrows of proportionate lengths.

Developing a strategy

“ Once your group agrees on the strength of each force, you are ready to consider the forces affecting a solution as you develop your strategy for implementing that solution.

For example, if your group sees lack of knowledge and skills on the part of potential committee members as a very strong restraining force, designing and conducting problem-solving training would be an appropriate step in the implementation strategy.

Note that force field analysis encourages a group to think beyond the who–what–when–where–how of implementing a solution to adding "environmental" concerns that can profoundly affect the success of the solution.

30 minutes	**Applying force field analysis to a real problem**	☛ Distribute a copy of Handouts 1 and 2, the Force Field Diagram and the Group Instruction Sheet, to each participant. Ask participants to form working groups of 5–9 people. Tell them that they may use this opportunity to examine the forces surrounding a solution they are considering for a workplace problem the group is addressing. Or they may wish to use the time to troubleshoot their strategy for implementing a solution that is already under way.
	Group analysis	☛ Review with the working groups the tasks listed on the Group Instruction Sheet. Tell the groups they will have 25 minutes to complete their work, and ask them to begin.
	Report out	☛ If there is more than one working group, ask each group to share its force field diagram and its three strategies. Allow time for the other groups to ask questions.

5 minutes

Review of uses and principles for the technique

☛ Conclude by emphasizing that force field analysis is a useful tool in two stages of the problem-solving process: selecting solutions and planning for implementation.

Note that the best implementation strategies reflect a group's recognition of the driving and restraining forces that affect a solution. Beyond the steps needed simply to put the solution into action, these strategies can contain a variety of activities aimed at

- increasing or adding to the driving forces,
- reducing or eliminating the restraining forces, or
- changing the direction of the restraining forces.

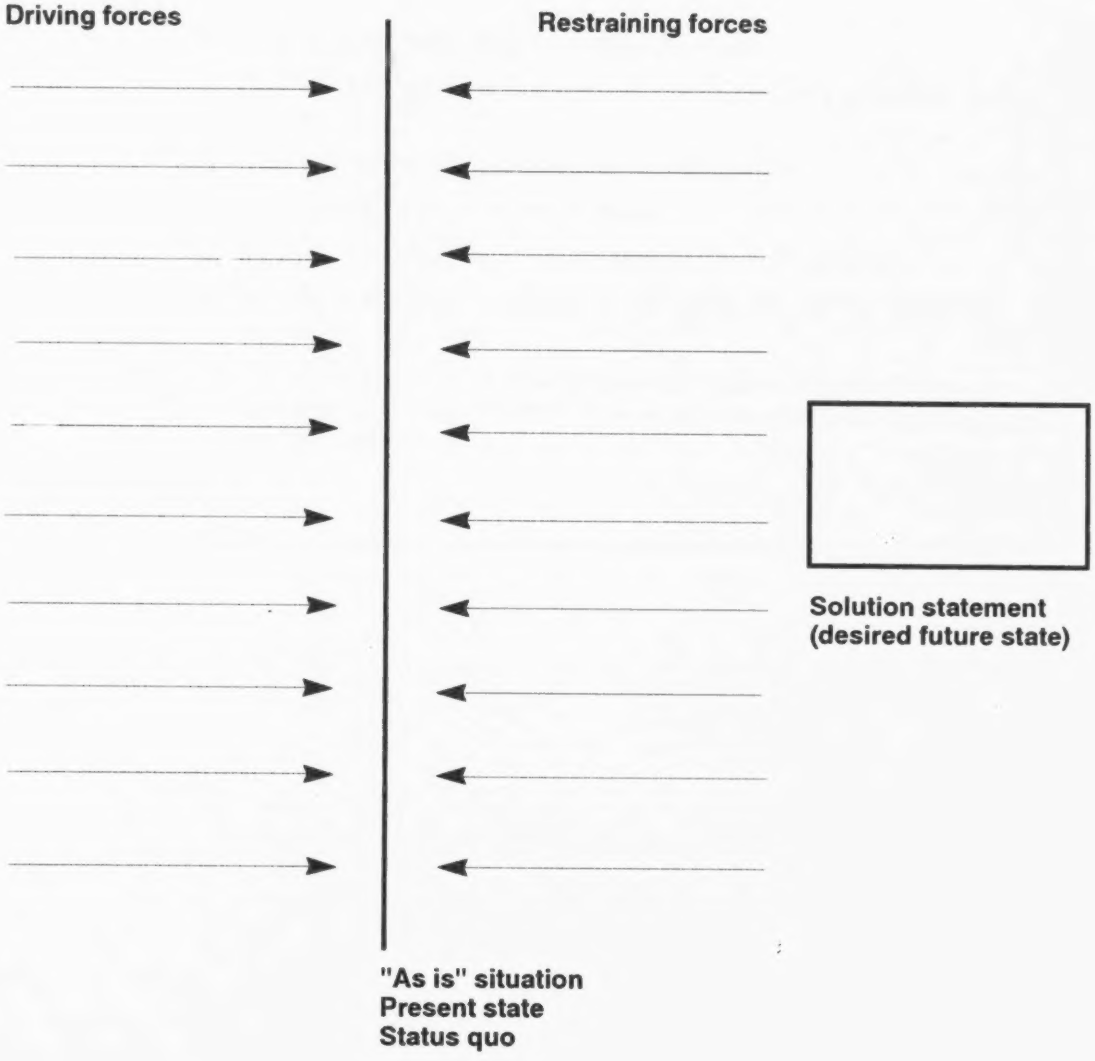
Reemphasize that a strategy that reduces or eliminates restraining forces is preferred to one that increases or adds driving forces. Of the two, a restraint-reduction strategy creates less tension and reduces future risk to the planned change. However, the most efficient strategy is one that transforms a restraining force into a driving force.

Finally, distribute a copy of Handout 3, Kurt Lewin's Force Field Analysis, to each participant for further reading on the topic.

HANDOUT 1

Force Field Analysis

FORCE FIELD DIAGRAM


Driving forces
Restraining forces
Solution statement
(desired future state)
"As is" situation
Present state
Status quo

HANDOUT 2

Force Field Analysis

GROUP INSTRUCTION SHEET

1. Select a recorder.
2. Draw a force field diagram on the flipchart.
3. Choose a solution or likely solution to a problem identified by the group.
4. Brainstorm the driving and restraining forces.
5. Assess the strength of each force.
6. Identify a strategy to increase one of the driving forces.
7. Identify a strategy to reduce or eliminate one of the restraining forces.
8. Identify a strategy for changing the direction of one of the restraining forces—that is, for turning a negative force into a positive force.

HANDOUT 3

Force Field Analysis

KURT LEWIN'S FORCE FIELD ANALYSIS*

by Morris S. Spier

Change in a group or an organization means essentially an alteration in the way things get done in the system. It may mean changes in compensation methods, sales and production levels, leadership styles, or interpersonal functioning, among others. Kurt Lewin's Force Field Analysis provides a framework for problem-solving and for implementing planned change efforts around a wide range of group and organizational issues. By way of reviewing Lewin's concepts, this paper describes how a group of managers applied the method when they met to discuss their effectiveness as a work team.

In talking to each other, the group members soon recognized that their day-to-day effectiveness and their ability to improve it were hampered by the degree to which they felt free to confront each other on relevant task and interpersonal issues. Having agreed that they needed to talk more openly with each other, each individual member now waited for someone else to "be open." Much of the frustration with this technique was soon summarized in the question, "Why can't we change the way we work together?"

DEFINITION OF THE PROBLEM

At first the reason for "no change" seemed to be "that's just the way things are," but as the managers looked more deeply at the climate in which they were operating, they identified some factors or pressures that strongly supported changes in the direction of more openness: (a) the team members wanted to perform effectively for the sake of their own careers as well as the good of the organization; (b) they were functionally interdependent and had to work together to accomplish their goals; (c) there were existing work-related problems that were having an impact on effectiveness (for example, responsibility without authority and unclear job definitions); (d) some interpersonal tension already existed in the system (for example, destructive competition and passive and overt hostility).

As they continued their analysis, the managers also identified pressures that acted as powerful obstacles to change: (a) many of the group members lacked experience and skills in dealing with conflict and more open feedback; (b) the risk of the "unknown" was high in terms of "What will we open up?" and "Will we hurt each other?"; (c) there was a concern that if certain issues were brought up "things could get worse"; and (d) there were questions about whether top management would support a more open climate or whether they would respond with "That's not the way things are done around here." Thus, the definition of the problem took the form of recognizing that opposing forces like these in the environment determined the existing level of interpersonal functioning in the group.

---

* Reproduced from *The 1973 Annual Handbook for Group Facilitators*, ed. John E. Jones and J. William Pfeiffer (San Diego), pp. 111–113, with the permission of University Associates, Inc.

Figure I summarizes this "diagnosis" of the problem. The top and bottom of the figure represent opposite ends of a continuum of a team's functioning in terms of its interpersonal climate. The environmental conditions and pressures supportive of more openness in the system are the ***driving forces*** represented by the arrows pushing upward which, at the same time, act as barriers to the team's movement backward toward a more closed system. The arrows pushing downward represent the ***restraining forces*** which are keeping the system from moving toward a higher degree of openness and, at the same time, are driving forces toward a climate of lower interpersonal risk.

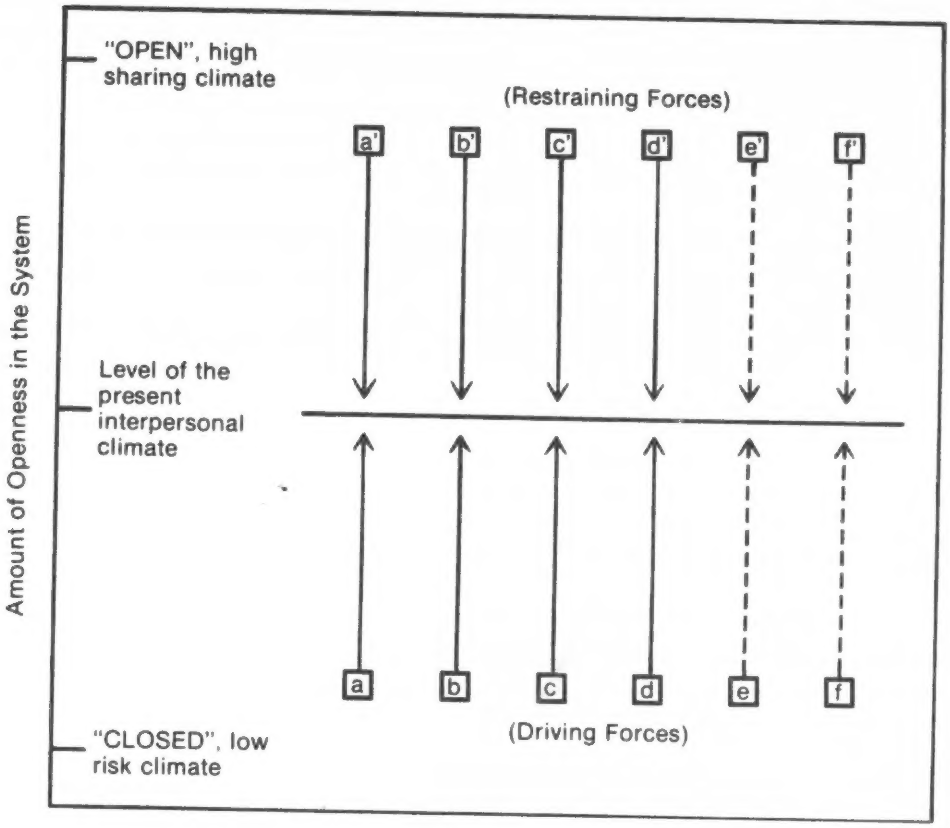
A group of forces as shown in Figure I may be called a "force field." The length of the arrows in the force field describes the relative strength of the forces: the longer the arrow the stronger the force. For descriptive purposes, the forces in Figure I are shown as equal in strength, but a force field can be made up of forces of varying strengths. Indeed, the strength of any single force may itself vary as we get closer to either end of the continuum of openness. A group or organization stabilizes its behavior where the forces pushing for change are equal to the forces resisting change. Lewin called the result of this dynamic balance of forces the "quasi-stationary equilibrium." In our example, the equilibrium is represented in Figure I by the line marked "level of the present interpersonal climate." It is at this level of functioning that the system is not completely "closed" in terms of a total lack of openness, feedback and risk taking, but neither is there the degree of each needed to work together as effectively as might be. The arrows meeting at the line indicate that the current state is being maintained somewhere between the end points on a continuum of team functioning by a balance of discernable driving and restraining forces.

THE IMPLEMENTATION OF CHANGE

Since the management team is interacting at its present level because of a balance of organizational and individual needs and forces, change will only occur if the forces are modified so that the system can move to and stabilize itself at a different level where the driving and restraining forces are again equal. The equilibrium can be changed in the direction of more openness by: (1) strengthening or adding forces in the direction of change, (2) reducing or removing some of the restraining forces, or (3) changing the direction of the forces.

Any of the basic strategies may change the level of the team's functioning, but the secondary effects will differ depending on the method used. If a change in the equilibrium is brought about only by strengthening or adding driving forces, the new level may be accomplished by a relatively high degree of tension which itself may reduce effectiveness. In Figure I, the line representing the "level of the present interpersonal climate" will move upward toward more openness under the pressure of strengthened driving forces. The additional pressures upward, however, will be met by corresponding increases in resistance. The resulting increase of tension in the system will be characterized by a lengthening of the arrows pushing upward and downward at the new level.

FIGURE I.
The Force Field


"OPEN", high sharing climate
(Restraining Forces)
a'
b'
c'
d'
e'
f'
Amount of Openness in the System
Level of the present interpersonal climate
a
b
c
d
e
f
(Driving Forces)
"CLOSED", low risk climate

Attempts to induce change by removing or diminishing opposing forces will generally result in a lower degree of tension. An important restraining force that requires removal in our example is the managers' lack of experience and skills in dealing with conflict. As the managers acquire new interpersonal skills, a key restraining force will be removed. Moreover, changes accomplished by overcoming counterforces are likely to be more stable than changes induced by additional or stronger driving forces. Restraining forces which have been removed will not push for a return to old behaviors and ways of doing things. If changes come about only through the strengthening of driving forces, the forces which support the new level must be stable. For example, many work groups are stimulated toward new ways of working together by participating in "team-building" sessions, only to find the former behaviors and habits re-emerging shortly after return to the day-to-day job. If the change started by the learning and enthusiasm of the team-building is to continue after the session, some other driving force must be ready to take the place of the meeting's stimulation.

One of the most efficient ways to get change is to change the direction of one of the forces. If the managers in our example can be persuaded to "test" top management's support for a more open climate, they might find more encouragement than they previously thought existed. Thus, the removal of a powerful restraining force (expected top management disapproval) becomes an additional, strong driving force (actual top management support) in the direction of change.

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Jenkins, D.H. "Force Field Analysis Applied to a School Situation." In Bennis, W.G., Benne, K.D., and Chin, R. (Eds.), *The Planning of Change*. New York: Holt, Rinehard, Winston, 1969, pp. 238-244.

Lewin, K. "Quasi-stationary Social Equilibria and the Problem of Permanent Change." In Bennis, W.G., Benne, K.D., and Chin, R. (Eds.), *The Planning of Change*. New York: Holt, Rinehard, Winston, 1969, pp. 235-238.

GROUP PROBLEM SOLVING 8

Applying the Problem-Solving Model and Tools to a Real Problem

Description	Participants apply the six-step model and the tools of brainstorming, cause and effect analysis, Pareto analysis, and force field analysis in a work session on a real problem the group wants to solve. *Prerequisite:* Participants will have completed *A Group Problem-Solving Model* and at least one of the three exercises on analysis methods and will have experience in brainstorming.
Performance objective	To tackle a problem using the problem-solving model and tools learned earlier in the training.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
180 minutes total	Materials	For each working group of 5–9 people: ☐ a flipchart and markers ☐ a set of handouts from the sessions on brainstorming and on cause and effect, Pareto, and force field analysis, for reference For each participant, a copy of ☐ Problem-Solving Worksheet (Handout 1, pages 101–108)
	Trainer review	It is important that the trainer review the six-step model and the three analysis methods before the session so that he or she can respond to questions as they arise.
	Flipchart	The trainer may wish to prepare the flipchart, indicated by the ✏ symbol, before the workshop session.

best copy available

5 minutes **Introduction to the work session**

☛ Ask participants to divide into working groups of 5–9 people.

Introduce this exercise as a "work session." The long block of time will allow groups to identify a real problem within their organization that they would like to resolve by using all of the resources around the table. Ask that they regard this work session as an official group meeting.

Remind participants that they have acquired several problem-solving tools in workshop sessions, including some or all of the following:

- a six-step problem-solving model
- brainstorming
- cause and effect analysis
- Pareto analysis
- force field analysis

Using the worksheet

☛ Give each participant a copy of the Problem-Solving Worksheet. Tell participants that the worksheet is intended to guide them through the process but that they may modify it or choose other tools at any point in the process.

Recommend that each group do its work on flipcharts but that individuals use the worksheet to record the group work for their own reference.

Trainer's role

☛ Tell participants that you will be available as a resource person when needed to help them understand and apply the problem-solving model and tools.

Finally, tell them that they will have 2½ hours to work through the six steps, from identifying the problem through evaluation planning. Following the work session, there will be 30 minutes for working groups to report on their chosen problems and the processes they went through.*

---

* In the case of only one working group, the trainer may elect (1) to allow the full 3 hours for the problem-solving activity, (2) to reserve 30 minutes at the end of the session for a group discussion of the process, or (3) to do a 15-minute process check midway through the session and another 15-minute discussion at the end.

145 minutes **Work session**

✏ Post a flipchart with the following outline on it:

1. Identify the problem.
   (brainstorm symptoms, select a problem)
2. Diagnose the problem.
   (fishbone diagram, choose tentative causes, "gather" data, reorder causes to reflect data, Pareto diagram to choose first cause for action)
3. Develop solutions.
   (brainstorm solutions)
4. Select a solution.
   (rank solutions for technical quality and acceptability, choose five, do force field analysis to determine support for or resistance to each)
5. Plan to implement the solution.
   (describe a plan reflecting what, who, when, where, how, and why, as well as strategies for changing any forces)
6. Plan to evaluate the process and outcome.
   (brainstorm measures and information needs)

☛ Tell the groups that the outline is intended to help them structure their 2½-hour work session. Depending on the problem they select, they may skip, repeat, compress, or concentrate on a particular step. They may also need to schedule additional meetings to complete work.

Tell the groups to begin work. Circulate among them throughout the session, observing their activities and intervening when asked or when a group needs assistance.

30 minutes **Report out**

☛ Ask a representative of each of the groups to report on:

- what the group did
- what worked well and why
- what didn't work and why
- what they would do differently in another problem-solving session
- what techniques they need to learn more about or to practice further

HANDOUT 1

Applying the Problem-Solving Model and Tools to a Real Problem

PROBLEM-SOLVING WORKSHEET

Step 1 Identify the problem.

1a. Brainstorm—and record on flipchart paper—a list of "symptoms" or characteristics of your organization that indicate that a problem might exist.

1b. Sort through the symptoms that you have identified, lining through those that derive from other symptoms and restating the remaining ones as problems that need to be addressed.

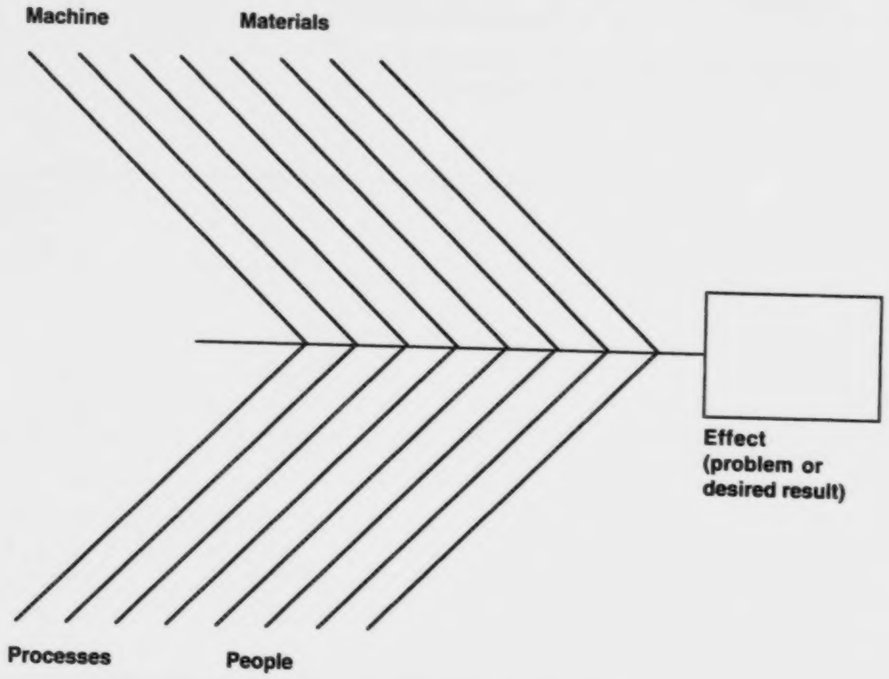
1c. Select one problem to work on, using the following criteria:

- You can do something about it.
- The problem has an impact on people and the organization.
- The problem is of sufficient importance to warrant your attention.

1d. Agree on an initial statement of the problem:

Step 2 Diagnose the problem.

2a. Draw a cause and effect (fishbone) diagram and brainstorm possible causes for the problem.


Machine
Materials
Effect (problem or desired result)
Processes
People

2b. From the cause and effect analysis, choose at least five "root" causes or factors contributing to the problem.

1.
2.
3.
4.
5.

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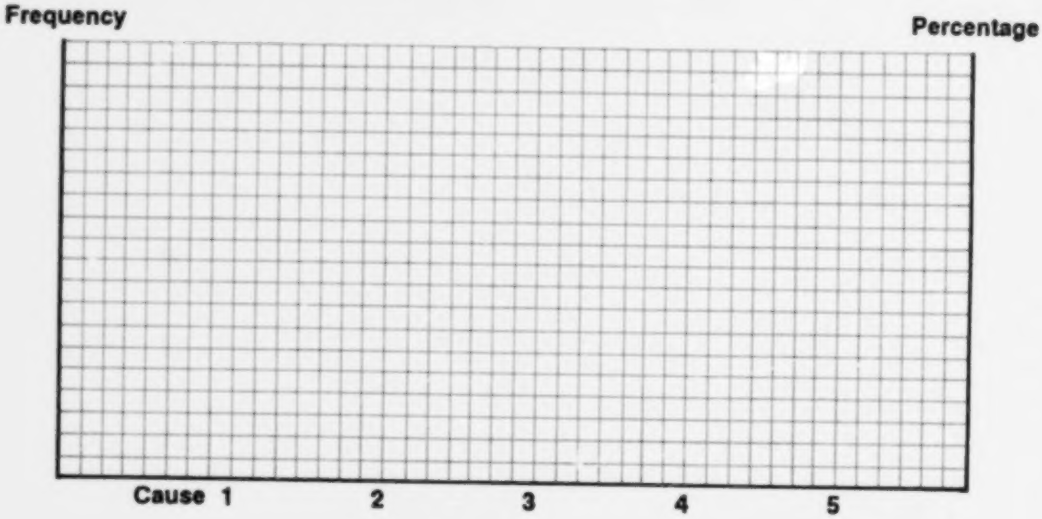
2c. Choose a standard unit of measurement (e.g., frequency of occurrence, units not produced, dollars or personhours lost) that will allow you to compare root causes. Since you do not have time to gather real data, assign a "best guess" value for a given month to each of the causes.

Root cause	Frequency (or other measure)	Percentage of total occurrences	Cumulative percentage
1.			
2.			
3.			
4.			
5.			

2d. Renumber the root causes listed above from "1" (most) to "5" (least) to reflect the frequencies (or units, lost dollars, etc.) you assigned.

2e. Develop a Pareto diagram to display the relative importance of each of the selected causes.



2f. What is the real problem? Restate the problem in light of the causes you have explored and the data you have gathered:

Step 3 Develop solutions.

3a. Brainstorm all the possible solutions to the problem.

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3b. Integrate and combine similar solutions if possible.

Step *4* Select a solution.

4a. Evaluate your potential solutions using the solution selection criteria of technical quality and acceptability. Check off each criterion that a potential solution meets.

	Technical quality					**Acceptability**			
Potential solution	Timely	Cost-effective	Reliable	Efficient	Adaptable	Implementers support	Risk is manageable	Affected people benefit	Company benefits
1.									
2.									
3.									
4.									
5.									
6.									
7.									
8.									
9.									

4b. Place an asterisk (*) next to each of the five potential solutions that meet most of the criteria.

4c. List the five solutions marked with an asterisk and conduct a force field analysis on each of them.

Potential solution	Driving forces →	← Restraining forces
1.		
2.		
3.		
4.		
5.		

4d. Agree as a group on the solution that you believe will best solve the problem.

Step 5 **Plan to implement the solution.**

Describe the implementation plan for the solution you chose, using the following guidelines:

1. **What** actions must be taken?
2. **Who** will take them?
3. **When** will they be completed? Are there intermediate milestones?
4. **Where** will the actions be taken?
5. **How** will they be carried out?
6. **Why** is this series of actions a solution? (Does it solve the problem?)

Step 6 Plan to evaluate the process and outcome.

6a. Brainstorm some possible measures you can employ that will enable you to monitor and evaluate the success of your implementation plan.

6b. Brainstorm the kinds of information you will need for each measure and where and how you can find that information.

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Module 4

Consensus Decisionmaking

U.S. Department of Labor
Bureau of Labor–Management Relations
and Cooperative Programs

CONSENSUS DE

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Introduction

This module in the *Committee Effectiveness Training (CET)* series contains five exercises designed to help groups examine their decisionmaking processes and acquire the skills and knowledge they need to make consensus decisions.

Please refer to the *Guidebook for the Trainer* for general information on the *CET* series, on doing a needs assessment, and on designing a workshop.

To help you select exercises to meet the needs of workshop participants, see the sections on General Considerations for the Trainer, Recommendations for Selecting Exercises, and Exercise Summaries in the pages that follow.

GENERAL CONSIDERATIONS FOR THE TRAINER

In developing a workshop to improve a group's ability to make consensus decisions, the trainer will consider several questions:

- Which exercises from the other seven modules in the *Committee Effectiveness Training (CET)* series will also be used to meet the group's perceived training needs?
- How much time is available to deliver a workshop? Will there be more time in the near future to deliver additional components of the *CET* series?
- Does the response to statement **4**, **12**, **20**, or **28** on the Needs Assessment Questionnaire indicate an acute need for a particular exercise? (See the **Indicators** listed under each exercise summary.)

RECOMMENDATIONS FOR SELECTING EXERCISES

With the group's needs and constraints in mind, the trainer should also consider the following recommendations when choosing exercises:

- Consensus-seeking behavior is fundamental to effective teamwork. The first two exercises in this module encourage a group to examine the effectiveness of its present decisionmaking processes. The third is a brief talk to introduce the basics of consensus, while the fourth is a graphic experience of its benefits. The last exercise teaches techniques for speeding the process.
- *A Problem-Solving Exercise*, an animated introductory activity in which each participant holds a key piece of the puzzle, is important for any group that tends to overlook or fail to solicit contributions from all members.
- If time permits, *A Modern Sculpture* should precede *Lost at Sea*. Using a group "construction" project, *Sculpture* allows participants to explore how their group makes decisions and to contrast consensus decisionmaking with more common but less effective methods. *Sculpture* can also be used in place of *Lost at Sea* if the group has already done a "survival" exercise.
- *Basic Consensus* is a brief slide talk that can be used within another exercise when consensus guidelines are needed. It provides the minimum introduction to consensus that is a prerequisite for several exercises in other *CET* modules.
- *Lost at Sea* is a core experience in the "synergistic" advantages of consensus over individual decisionmaking. Alternate survival exercises are suggested for groups that have already used *Lost* but need a "hands on" refresher in consensus.
- *Techniques To Accelerate Consensus* will help groups that typically lose time discussing minor matters as they try to reach consensus.

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EXERCISE SUMMARIES

1 *A Problem-Solving Exercise,* 75 minutes

Description	Participants identify and solve a problem, tasks that require the sharing of information from all group members. The exercise provides the group with a good opportunity to begin to examine its decisionmaking behavior.
Performance objective	To recognize the importance of each group member's input to developing an effective group solution.
Indicator	A low score on question 20 on the Needs Assessment Questionnaire.

2 *A Modern Sculpture,* 90 minutes

Description	Participants explore how decisions get made in groups while working on a group loc-block project. They begin to appreciate the advantages of consensus decisionmaking.
Performance objectives	To describe several methods by which groups make decisions and To describe the advantages of consensus decisionmaking over other methods.
Indicator	A low score on question 4 or 12 on the Needs Assessment Questionnaire.

3 *Basic Consensus*, 20 minutes

Description	Participants briefly review their group's decisionmaking methods. They learn guidelines for consensus decisionmaking through a short, slide-illustrated talk.
Performance objectives	To define consensus and To recognize behaviors that will encourage consensus.
Indicator	A low score on question 4, 12, or 20 on the Needs Assessment Questionnaire.

4 *Lost at Sea,* 100–115 minutes, depending on the use of an optional discussion topic

Description	Participants engage in a "survival" exercise that demonstrates the advantages of consensus over individual decisionmaking. Alternative exercises are suggested in case participants have already experienced *Lost at Sea*.
Performance objectives	To practice consensus and To describe the synergistic benefits of consensus.
Indicator	A low score on question 4, 12, or 20 on the Needs Assessment Questionnaire.

5 *Techniques To Accelerate Consensus*, 125 minutes

Description	Participants learn and practice four techniques for accelerating consensus: the nominal group technique, multivoting, weighted ranking, and the sticker elimination method.
Performance objective	To describe and practice several techniques for accelerating consensus.
Indicator	A low score on question 28 on the Needs Assessment Questionnaire.

CONSENSUS DECISIONMAKING 1

A Problem-Solving Exercise

Description	Participants identify and solve a problem, tasks that require the sharing of information from all group members. The exercise provides the group with a good opportunity to begin to examine its decisionmaking behavior.
Performance objective	To recognize the importance of each group member's input to developing an effective group solution.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
75 minutes total	Materials	For each working group of 5–9 people: ☐ a flipchart and markers ☐ a set of eight Information Slips, cut apart for distribution (Handout 1, pages 9–11) For each participant, a copy of ☐ Solution and Rationale (Handout 2, page 13)
40 minutes	**Introduction to the exercise**	☛ Divide participants into working groups of 5–9 people. Read the instructions below, but *do not elaborate* on the words of introduction and *do not mention* the question "What is the salesman's last name?" since that is the problem the group needs to identify.
	Instructions	“ You will have 35 minutes to identify and solve a problem. You must be able to provide a rationale for your solution that demonstrates by logic alone—without making assumptions—that you have solved the problem. You will have all the information you need to identify and solve the problem.

more ➪

The source of this exercise is unknown.

Information slips

☛ In each working group, distribute a set of eight information slips, one to each group member. In groups smaller than eight, give one or more group members two slips. In groups larger than eight, ask those not receiving slips to consider themselves active problem solvers.

Tell participants that they may not show their information slips to anyone but must communicate all information orally.

Do not answer any questions. You may repeat instructions already given.

Tell participants that you will warn them 10 minutes and then 5 minutes before the 35 minutes have elapsed.

Ask them to begin.

---

5 minutes **Solution and rationale**

☛ Ask each group to report its solution and rationale.

Distribute the Solution and Rationale sheet. Present it as one possible rationale that doesn't rely on assumptions. Note that there may be others.

30 minutes

Discussion: Group decision-making behavior

☛ Ask general, open-ended questions about the participants'

- thoughts and feelings during the exercise,
- reactions after completing the task, and
- learnings from the experience.

☛ Ask some specific questions about the working groups' approaches to the problem:

Did your group seek agreement on how to begin its task? How was the decision made?

What problem-solving strategy did you use? How did you arrive at that strategy?

Did your group consider other strategies? Why or why not?

To what extent did your group elicit the data from the quieter members?

How long did it take to identify the problem the group was to solve?

Did the group record the data on one piece of paper, or did several members keep their own notes? Did you use the flipchart?

Did group members listen well to one another?

Did everyone in the group buy in to the solution reached, or did the more vocal members push their solutions?

What could the group have done differently that would have helped it identify and solve the problem more efficiently and effectively?

☛ Finally, ask participants:

What is the most important lesson you can derive from this exercise?

Participants should express the importance of both reaching out for each group member's viewpoint and volunteering their own when solving problems and reaching decisions.

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HANDOUT 1

A Problem-Solving Exercise

INFORMATION SLIPS

Instructions Make one set of the eight information slips for each working group. Cut along the dotted lines, and distribute one slip to each group member. Distribute all eight slips: If there are fewer than eight group members, distribute second slips to some until all slips are distributed.

-- ✂

INFORMATION SLIP #1

Although you may ***tell*** your group what is on this slip, ***you may not pass it around*** for others to read.

Your group members have all the information needed to answer to the following question:

WHAT IS THE SALESMAN'S LAST NAME?

Only one answer is correct. You can prove it. Some of the information your group has may be irrelevant and will not help solve the problem.

Information:

The customer who drives the same make of car as the engineer graduated from the Juilliard School of Music in New York City.

-- ✂

INFORMATION SLIP #2

Although you may ***tell*** your group what is on this slip, ***you may not pass it around*** for others to read.

Information:

Harlow, Benson, and Turney are all employees of AT&T. One of them is a manufacturing manager, one is a salesman, and one is an engineer.

-- ✂

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INFORMATION SLIP #3

Although you may ***tell*** your group what is on this slip, ***you may not pass it around*** for others to read.

Information:

The engineer graduated from Oregon State University (Corvallis, Oregon), where he was captain of the football team his senior year.

Carroll thinks that a vacuum tube is part of the water pump. When asked what a transistor is, he replied that he thought it was the name for the earphones used by United Nations delegates to listen to the translation of a speech.

INFORMATION SLIP #4

Although you may ***tell*** your group what is on this slip, ***you may not pass it around*** for others to read.

Information:

By a strange coincidence, the customers' cars match the cars of the AT&T employees. Thus, one customer and one employee each have MG coupes. One customer and one employee each have Plymouth coupes. One customer and one employee each have Volkswagon microbuses.

INFORMATION SLIP #5

Although you may ***tell*** your group what is on this slip, ***you may not pass it around*** for others to read.

Information:

The three customers of this company are Brown, Carroll, and Trent.

Harlow borrows the manufacturing manager's car to go camping because it is the only one large enough to hold Harlow's camping gear and his family of five.

INFORMATION SLIP #6

Although you may ***tell*** your group what is on this slip, ***you may not pass it around*** for others to read.

Information:

Trent graduated from Reed College (Portland, Oregon) in 1950 with honors in political science.

INFORMATION SLIP #7

Although you may ***tell*** your group what is on this slip, ***you may not pass it around*** for others to read.

Information:

Because he can't carry his wife and his cello at the same time, the customer who drives the MG is thinking of getting a larger car.

The engineer and one of the customers, who built his own hi-fi equipment complete with FM multiplexer, met for the first time last June at their college reunion.

INFORMATION SLIP #8

Although you may ***tell*** your group what is on this slip, ***you may not pass it around*** for others to read.

Information:

The customer who drives the Plymouth was born in Portland, Oregon, and completed all his formal education there.

Turney and his wife plan to buy a second car but can't agree on what kind. He wants to buy some foreign-made sports car, but she wants another American-made car.

HANDOUT 2

A Problem-Solving Exercise

SOLUTION AND RATIONALE

Solution Turney is the salesman.

Rationale

1. Since Turney's car is American-made (Slip 8), it must be the Plymouth (MGs are produced in England; VW buses are produced in Germany).
2. Since the manufacturing manager has the only car big enough for a family of five and camping equipment, he must have the VW bus (Slip 5).
3. Since Harlow wants to borrow the VW bus, he himself must drive the MG (Turney drives the Plymouth). The manufacturing manager, who owns the VW bus, must be Benson.
4. Since Benson is the manufacturing manager, the salesman is either Harlow or Turney.
5. The customer who graduated from Juilliard School in New York City drives either a Plymouth or an MG, the same make of car as the engineer (Slip 1).
6. The customer who drives the Plymouth completed all his education in Portland, Oregon (Slip 8).
7. Since Trent is the only customer to graduate from Reed College in Portland, Oregon (the other two having graduated from Oregon State University in Corvallis, Oregon, and from the Juilliard School in New York City), he must drive a Plymouth.
8. The customer from the Juilliard School in New York City, therefore, must drive an MG, the same make of car as the engineer.
9. Since Harlow (as we have seen) drives the MG, he, therefore, is the engineer.
10. Turney, therefore, is the salesman.

CONSENSUS DECISIONMAKING 2

A Modern Sculpture

Description Participants explore how decisions get made in groups while working on a group loc-block project. They begin to appreciate the advantages of consensus decisionmaking.

Performance objectives To describe several methods by which groups make decisions and

To describe the advantages of consensus decisionmaking over other methods.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
90 minutes total	Materials	For each working group of 5–9 people, ☐ a bag of 150–200 loc blocks, legos, or other type of variously shaped, interlocking building blocks For each participant, a copy of ☐ Decisionmaking Methods (Handout 1, pages 17–18)
35 minutes	**Creating a sculpture**	☛ Divide participants into working groups of 5–9 people, and distribute a bag of blocks to each working group. Tell the groups that they will have 30 minutes to create a modern sculpture using *all* of the blocks in the bag. The sculpture will be judged on the following criteria: • originality • durability • use of color • use of space Tell the groups to begin work.
15 minutes	Report out	☛ When 30 minutes have elapsed, ask each working group to describe briefly its sculpture and the process by which the sculpture was created.

	Examining decisionmaking methods	☛ Distribute a copy of Handout 1, Decisionmaking Methods, to each participant. Ask participants to read the 2-page handout.
25 minutes	Identifying methods used	☛ Ask the working groups to spend 25 minutes exploring the decisionmaking methods they used in designing and building their modern sculptures. Ask each group to try to identify at least three examples of decisions made by each of the methods listed in the handout.
10 minutes	Report out	☛ Ask the working groups to report briefly on how many different methods of decisionmaking each employed and how often each method was used. You may wish to make note of this data for use in the concluding comments.
5 minutes	**Advantages of consensus decisionmaking**	☛ Reemphasize the final point made in the handout: *The decision a group makes about how it will make decisions can be the most important single factor in how well the group works as a group.* Use some of the data the group shared in reporting out to illustrate the above point. Finally, suggest that consensus decisionmaking offers a group the best opportunities • to use the resources of each member fully, • to develop better decisions, and • to gain each member's commitment to implementing the decision. Ask participants if their experience of consensus decisionmaking during the sculpture design and building process confirms this claim for the advantages of consensus decisionmaking.

HANDOUT 1

A Modern Sculpture

DECISIONMAKING METHODS*

To Decide or Not To Decide

Whether we are aware of it or not, groups are making decisions all the time, some of them consciously and with reference to the major tasks at hand, some of them without much awareness and with reference to group procedures or standards of operation. It is important to observe how decisions are made in a group in order to assess whether the method is appropriate to the matter being decided upon and whether the consequences of given methods are really what the group members bargained for.

Group decisions are notoriously hard to undo. When someone says, "Well, we decided to do it, didn't we?" any budding opposition is quickly squashed. Often we can undo the decision only if we reconstruct it, understand how we made it, and test whether this method was appropriate.

Some Methods of Making Decisions

Some common methods by which groups make decisions include:

The Plop	"I think we should introduce ourselves". . . silence. *Group decision by omission.*
The Self-Authorized Agenda	"I think we should introduce ourselves. My name is Joe Smith. . . ." *Decision by one.*
The Handclasp	"I wonder if it would be helpful if we introduced ourselves?" "I think it would. My name is Pete Jones. . . ." *Decision by two.*

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* Excerpted and adapted from "What To Observe in a Group," by Edgar H. Schein, in the *NTL Reading Book for Human Relations Training*, 7th ed., ed. Lawrence Porter and Bernard Mohr (Alexandria, Va., 1982), pp. 72–74, with the permission of the NTL Institute for Applied Behavioral Science. Copyright © 1982.

Does Anyone Object? or, **We All Agree**	*Decision by a minority of one or more.*
Majority/Minority Voting	*Decision by the majority.*
Polling	"Let's see where everyone stands. What do you think, Sam? Sharon? . . ." *Decision by the "majority," with a strong incentive to join the majority.*
Consensus Testing	Exploring to test for opposition and to determine whether opposition feels strongly enough to be unwilling to implement the decision. *Not necessarily unanimity but essential agreement by all.*

Distinguishing Among Methods

The procedure can be tricky. For example, it sometimes happens that a decision to poll—which looks very democratic, because polling is considered democratic—can be made by self-authorization or by handclasp. At such a point, the alert group member will realize what is going on and insist that the group be clear on its decisionmaking style.

The decision a group makes about how it will make decisions can be the most important single factor in how well the group works as a group.

CONSENSUS DECISIONMAKING 3

Basic Consensus

Description Participants briefly review their group's decisionmaking methods.* They learn guidelines for consensus decisionmaking through a short, slide-illustrated talk.

Performance objectives To define consensus and

To recognize behaviors that will encourage consensus.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
20 minutes total	Materials	☐ a flipchart and markers ☐ a slide projector and screen ☐ 20-slide set, *Reaching Consensus* For each participant, a copy of ☐ Basic Consensus (Handout 1, page 25)
10 minutes	**Introduction to consensus**	☛ Ask participants to list quickly all of the ways their group or someone acting for the group has made decisions in the last few meetings.*
	How the group makes decisions	✏ Record the responses on a flipchart. The list should include: • The chair made the decision, with or without input from other group members. • One person decided, but no one challenged it. Or most people seemed to agree. Or at least a few. • The group formally voted (voice vote, secret ballot); the majority ruled. • A subcommittee, executive committee, or some other "representative" group decided.

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* If participants have recently completed *A Modern Sculpture*, this review can be omitted. Begin the exercise with the definition of consensus on page 20.

Are the group's decisions satisfactory?

☛ Go back over the list, asking participants if they were satisfied with the last decision the group made in each of the ways listed. If not, why not?

✏ Record the answers, which should include:

- Some people or ideas didn't get heard.
- I didn't understand the reason for the decision.
- I could not agree with the decision.

Definition of consensus

☛ Tell the group that learning to reach consensus decisions is vital to effective group work.

By definition,

> *A consensus decision is one*
> *that all group members*
> *can understand and support*
> *without feeling they are compromising*
> *anything important.*

The consensus decision may not be everyone's *first* choice, but

- everyone has been heard, and
- everyone can live with the decision.

Tell the group that you are going to present a brief slide show that reviews consensus and provides a list of guidelines that groups can follow to reach consensus.

10 minutes	**Slide talk: Reaching consensus**	☛ Project the 20-slide set. You may wish to use the following script:
	Slide *1* Reaching Consensus . . .	“ Reaching Consensus
	Slide *2* A group reaches consensus when . . .	A group reaches a consensus when . . .
	Slide *3* . . . all members agree upon a single alternative, and	. . . group members finally come to agreement on a single alternative course of action and . . .
	Slide *4* . . . each group member can honestly say:	. . . each group member can honestly say to the other group members . . .
	Slide *5* I believe that you understand my point of view and that I understand yours.	I believe that you understand my point of view. That is, I feel my concerns have been heard. I don't feel coerced or abandoned. I also believe that I understand your point of view. That is, I have listened to and considered what you have said.
	Slide *6* Whether or not I prefer this decision, I support it because . . .	Whether or not I *prefer* this decision, I *support* it because . . .
	Slide *7* . . . it was reached openly and fairly, and . . .	. . . it was reached in an open and fair manner. We aired everyone's concerns and fully discussed all alternatives.

Slide *8* . . . it is the best solution for us at this time.	“We are all satisfied that this solution is the best response to this problem at this time, that it answers the concerns we raised, and that we all support it.
Slide *9* (full definition)	Thus, though the consensus solution may not be anyone's *first* choice, it is acceptable and understandable to everyone.
Slide *10* A group reaches consensus by following these guidelines . . .	How can a group create the environment that will result in consensus decisions? There are a few guidelines that will help.
Slide *11* Listen: Pay attention to others.	Listening is the secret of most successful teams. You can't learn anything while you are talking.
Slide *12* Encourage participation.	Encourage people to participate, but don't put anyone on the spot by forcing participation.
Slide *13* Share information.	If you withhold information from the group, the resulting decision will be less accurate and less effective.
Slide *14* Don't agree too quickly.	Do not change your mind simply to reach agreement or maintain harmony. When agreement comes too quickly and easily, be suspicious. Yield only to opinions that have objective and logically sound foundations. Ask questions; explore the reasoning; get a sense of where others are coming from. Be sure that everyone accepts the solution for basically similar or complementary reasons.
Slide *15* Don't bargain or trade support.	Horsetrading and compromising for support on other issues will not help you find the best solution to the problem at hand. When dissenting members finally agree, don't feel they need to be rewarded by having their way at some later time.

Slide *16*
Don't vote.

❝ Don't vote, flip a coin, average, or use other conflict-reducing techniques. Conflict may be unavoidable. Your objective is to *create* the best solution—by recognizing and integrating important features of alternative solutions, not by voting whole solutions away.

Slide *17*
Treat differences as a strength.

Differences of opinion are natural and expected. Disagreements can improve the quality of the group decision. There is a greater chance that the group will hit upon more adequate solutions with a wider range of opinions and information. You want to air and address disagreements now, not after the solution is under way.

Slide *18*
Create a solution that can be supported.

Each member of the group should feel that the solution is the best possible course of action at the time.

Slide *19*
Avoid arguing blindly for your own views.

Present your point of view as clearly and logically as possible, listen to others' reactions, and consider those reactions carefully before you press your point.

Slide *20*
Seek a win–win solution.

Do not assume that someone must win and someone must lose when discussion reaches a stalemate. Instead, look for the next most acceptable alternative for the group.

☛ Distribute Handout 1, which briefly recaps the slides you have just shown. Ask participants if they have any questions or comments on consensus decisionmaking.

Suggest that participants refer to the guidelines in their group meetings to help maintain an environment conducive to reaching consensus.

HANDOUT 1

Basic Consensus

Definition of Consensus

A group reaches consensus when

all members agree upon a single alternative, and

each group member can honestly say:

> I believe that you understand my point of view and that I understand yours.
>
> Whether or not I prefer this decision, I support it because
>
> —it was reached fairly and openly, and
>
> —it is the best solution for us at this time.

Guidelines on Reaching Consensus

1. Listen: Pay attention to others.
2. Encourage participation.
3. Share information.
4. Don't agree too quickly.
5. Don't bargain or trade support.
6. Don't vote.
7. Treat differences as a strength.
8. Create a solution that can be supported.
9. Avoid arguing blindly for your own views.
10. Seek a win–win solution.

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CONSENSUS DECISIONMAKING 4

Lost at Sea

Description Participants engage in a "survival" exercise* that demonstrates the advantages of consensus over individual decisionmaking.

Performance objectives To practice consensus and

To describe the synergistic benefits of consensus.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
100–115† minutes total	Materials	☐ a handheld calculator (to average scores quickly) For each working group of 5–9 people, ☐ a flipchart and markers For each participant, a copy of: ☐ Individual Worksheet (Handout 1, page 33) ☐ Consensus Basics (Handout 2, page 35) ☐ Team Worksheet (Handout 3, page 37) ☐ Answer and Rationale (Handout 4, pages 39–40) ☐ Scoring Grid and Scoring Instructions (Handout 5, pages 41–42)
	Flipchart	The trainer may wish to prepare the flipchart, indicated by the ✏ symbol, before the workshop session.

more ⇨

Adapted from "Lost at Sea," by Paul M. Nemiroff and William A. Pasmore, in *The 1975 Annual Handbook for Group Facilitators*, ed. John E. Jones and J. William Pfeiffer (San Diego), pp. 28–34, with the permission of University Associates, Inc.

* Consider using the exercise, *A Modern Sculpture* (pp. 15–18), if the group has already used *Lost at Sea*. Three other exercises provide experiences comparable to *Lost at Sea* if the group needs a refresher experience in consensus. They are "The Desert Survival Situation," "The Desert Survival Problem II," and "The Subarctic Survival Situation," Plymouth, Mich.: Human Synergistics.

† The 115-minute version includes an optional discussion described on page 30.

20 minutes	**Individual rankings**	☛ Distribute a copy of Handout 1, the Individual Worksheet, to each participant, and review the directions with the group. Ask that they complete their individual rankings in 15 minutes and tell them to begin. *Do not collect* the individual rankings.
	Team rankings	☛ Divide participants into working groups of 5–9 people. Tell them that they will be working as teams and using consensus decisionmaking to rank the survival items, but that first you will review some guidelines for reaching consensus.
5 minutes	Review of consensus basics*	☛ Distribute Handout 2, Consensus Basics. Ask participants to review the handout briefly to refresh their memories on consensus decisionmaking. Ask if they have any questions. Tell participants to refer to these guidelines in doing the next part of the exercise to reduce behaviors that hinder consensus.
35 minutes	Consensus rankings	☛ Distribute a copy of Handout 3, the Team Worksheet, to each participant. Ask the teams to reach a consensus on the ranking of survival items within 35 minutes.
5 minutes	Review of rationale	☛ When 35 minutes have elapsed, distribute the Answer and Rationale sheets. Review the first paragraph with participants, noting that officers of the U.S. Merchant Marine provided the "expert" ranking. Then give participants a few minutes to read the rest of the rationale.

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* If the group has just completed *Basic Consensus*, skip this step. Handout 2 for *Lost at Sea* is the same as Handout 1 from *Basic Consensus*.

10 minutes

Scoring the exercise

☛ Distribute the Scoring Grid. Give each team a number (1–6), and talk participants through the scoring process:

“ 1. Record your individual ranking under **Step 1**.

2. Record the team's ranking under **Step 2**.
3. The experts' ranking is already recorded on the grid under **Key**. Record under **Step 3** the differences between your individual ranking of each item and that of the experts. For example, if the experts' rank an item 9 and your answer is 3, record a 6 under "individual difference" for that item. (Record each difference as a positive number.)
4. Similarly, record under **Step 4** the differences between the team's and the experts' ranking for each item.
5. Total the numbers in the first column to get your individual score (**Step 5**). Total those in the last column to get the team score.
6. Record the average individual score for each team on the line labeled **Step 6**. (Ask for individual scores for each team, total them on the calculator, and divide by the number of members on the team.)
7. Copy each team's score (from Step 5) on the **Step 7** line under the team's number.
8. Record in **Step 8** the difference between each team's average individual score and the team score. If the team score is lower (better) than the average individual score, there was a gain (+) in teamwork. If the team's score is higher than the average individual score, there was no gain (–).
9. Record in **Step 9** the lowest (best) individual score from each team.
10. Record in **Step 10** the number of individual scores from each team that were lower (better) than the team score.

20 minutes	**Discussion: Individual vs. team scores**	☛ Ask members of each team to compare and discuss the results of the scoring, specifically: ● the differences between individual and team scores, ● the difference between the average individual score for the team and the team's score, and ● the use made of any "experts" on the team—that is, those who scored lower (better) than the team's score. Was the expertise of these individuals fully used? If not, why not? Ask members of each group how well their groups did in reaching consensus. Which guidelines did they follow? Which did they disregard to some extent?
15 minutes (optional)	Discussion: Helping/hindering behaviors	☛ It may be useful to conclude the processing of this exercise by exploring the behaviors that helped or hindered the consensus-seeking process.

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5 minutes

Definition of synergy

✏ Conclude the exercise with a brief introduction to synergy, writing the definition on a flipchart:

Synergy comes from the Greek words

"syn," meaning "together" and
"ergon," meaning "work"

Synergy is

combined or cooperative action or force,
especially where that action
has a greater total effect
than the sum of the individual efforts.

“ Synergy is evident when two or more people achieve an effect that each one alone could not achieve, when a group working together scores even better than its most knowledgeable member.

Lost at Sea is a particularly graphic demonstration of synergy; the rankings provide numbers that allow you to see readily the advantages of group over individual performance.

You can expect similar synergistic results whenever your group seeks consensus, drawing on the expertise of all of its members to arrive at solutions that all members can support.

HANDOUT 1

Lost at Sea

INDIVIDUAL WORKSHEET*

Instructions: You are adrift on a private yacht in the South Pacific. As a consequence of a fire of unknown origin, much of the yacht and its contents have been destroyed. The yacht is now slowly sinking. Your location is unclear because of the destruction of critical navigational equipment and because you and the crew were distracted trying to bring the fire under control. Your best estimate is that you are approximately one thousand miles south-southwest of the nearest land.

Below is a list of fifteen items that are intact and undamaged after the fire. In addition to these articles, you have a serviceable, rubber life raft with oars large enough to carry yourself, the crew, and all the items listed below. The total contents of all survivors' pockets are a package of cigarettes, several books of matches, and five one-dollar bills.

Your task is to rank the fifteen items below in terms of their importance to your survival. Place the number *1* by the most important item, the number *2* by the second most important, and so on through number *15*, the least important.

______ Sextant
______ Shaving mirror
______ Five-gallon can of water
______ Mosquito netting
______ One case of U.S. Army C rations
______ Maps of the Pacific Ocean
______ Seat cushion (flotation device approved by the Coast Guard)
______ Two-gallon can of oil-gas mixture
______ Small transistor radio
______ Shark repellent
______ Twenty square feet of opaque plastic
______ One quart of 160-proof Puerto Rican rum
______ Fifteen feet of nylon rope
______ Two boxes of chocolate bars
______ Fishing kit

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* Reproduced from "Lost at Sea," by Paul M. Nemiroff and William A. Pasmore, in *The 1975 Annual Handbook for Group Facilitators*, ed. John E. Jones and J. William Pfeiffer (San Diego), p. 31, with the permission of University Associates, Inc.

HANDOUT 2

Lost at Sea

CONSENSUS BASICS

Definition of Consensus

A group reaches consensus when

all members agree upon a single alternative, and

each group member can honestly say:

> I believe that you understand my point of view and that I understand yours.
>
> Whether or not I prefer this decision, I support it because
>
> —it was reached fairly and openly, and
>
> —it is the best solution for us at this time.

Guidelines on Reaching Consensus

1. Listen: Pay attention to others.
2. Encourage participation.
3. Share information.
4. Don't agree too quickly.
5. Don't bargain or trade support.
6. Don't vote.
7. Treat differences as a strength.
8. Create a solution that can be supported.
9. Avoid arguing blindly for your own views.
10. Seek a win–win solution.

HANDOUT 3

Lost at Sea

TEAM WORKSHEET*

Instructions: This is an exercise in group decision-making. Your group is to employ the group consensus method in reaching its decision. This means that the prediction for each of the fifteen survival items *must* be agreed upon by each group member before it becomes a part of the group decision. Consensus is difficult to reach. Therefore, not every ranking will meet with everyone's complete approval. As a group, try to make each ranking one with which *all* group members can at least *partially* agree. Here are some guides to use in reaching consensus.

1. Avoid arguing for your own individual judgments. Approach the task on the basis of logic.
2. Avoid changing your mind if it is only to reach agreement and avoid conflict. Support only solutions with which you are able to agree at least somewhat.
3. Avoid "conflict-reducing" techniques such as majority vote, averaging, or trading in reaching your decision.
4. View differences of opinion as a help rather than a hindrance in decision-making.

______ Sextant
______ Shaving mirror
______ Five-gallon can of water
______ Mosquito netting
______ One case of U.S. Army C rations
______ Maps of the Pacific Ocean
______ Seat cushion (flotation device approved by the Coast Guard)
______ Two-gallon can of oil-gas mixture
______ Small transistor radio
______ Shark repellent
______ Twenty square feet of opaque plastic
______ One quart of 160-proof Puerto Rican rum
______ Fifteen feet of nylon rope
______ Two boxes of chocolate bars
______ Fishing kit

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HANDOUT 4

Lost at Sea

ANSWER AND RATIONALE*

According to the "experts," the basic supplies needed when a person is stranded in mid ocean are articles to attract attention and articles to aid survival *until rescuers arrive.* Articles for navigation are of little importance: Even if a small life raft were capable of reaching land, it would be impossible to store enough food and water to subsist during that period of time. Therefore, of primary importance are the shaving mirror and the two-gallon can of oil-gas mixture. These items could be used for signaling air-sea rescue. Of secondary importance are items such as water and food, e.g., the case of Army C rations.

A brief rationale is provided for the ranking of each item. These brief explanations obviously do not represent all of the potential uses for the specified items but, rather, the primary importance of each.

1–Shaving mirror
Critical for signaling air-sea rescue.

2–Two-gallon can of oil-gas mixture
Critical for signaling–the oil-gas mixture will float on the water and could be ignited with a dollar bill and a match (obviously, outside the raft).

3–Five-gallon can of water
Necessary to replenish loss by perspiring, etc.

4–One case of U.S. Army C rations
Provides basic food intake.

5–Twenty square feet of opaque plastic
Utilized to collect rain water, provide shelter from the elements.

6–Two boxes of chocolate bars
A reserve food supply.

7–Fishing kit
Ranked lower than the candy bars because "one bird in the hand is worth two in the bush." There is no assurance that you will catch any fish.

8–Fifteen feet of nylon rope
May be used to lash equipment together to prevent it from falling overboard.

9–Floating seat cushion
If someone fell overboard, it could function as a life preserver.

10–Shark repellent
Obvious.

more ⇨

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* Reproduced from "Lost at Sea," by Paul M. Nemiroff and William A. Pasmore, in *The 1975 Annual Handbook for Group Facilitators*, ed. John E. Jones and J. William Pfeiffer (San Diego), pp. 33–34, with the permission of University Associates, Inc. Officers of the U.S. Merchant Marine ranked the 15 items and provided the "correct" solution to the task.

11–One quart of 160-proof Puerto Rican rum
Contains 80 percent alcohol—enough to use as a potential antiseptic for any injuries incurred; of little value otherwise; will cause dehydration if ingested.

12–Small transistor radio
Of little value since there is no transmitter (unfortunately, you are out of range of your favorite AM radio stations).

13–Maps of the Pacific Ocean
Worthless without additional navigational equipment—it does not really matter where you are but where the rescuers are.

14–Mosquito netting
There are no mosquitoes in the mid Pacific.

15–Sextant
Without tables and a chronometer, relatively useless.

The basic rationale for ranking signaling devices above life-sustaining items (food and water) is that without signaling devices there is almost no chance of being spotted and rescued. Furthermore, most rescues occur during the first thirty-six hours, and one can survive without food and water during this period.

HANDOUT 5

Lost at Sea

SCORING GRID*

Item	Step 3 Individual Difference	Step 1 Individual Ranking	Key	Step 2 Team Ranking	Step 4 Team Difference
Sextant			15		
Shaving Mirror			1		
Five-Gallon Can of Water			3		
Mosquito Netting			14		
One Case Army C Rations			4		
Map of the Pacific Ocean			13		
Seat Cushion (Flotation)			9		
Two-Gallon Can Oil-Gas Mixture			2		
Small Transistor Radio			12		
Shark Repellent			10		
20 Sq. Ft. Opaque Plastic			5		
1 Quart of 160 Proof Rum			11		
Fifteen Feet Nylon Rope			8		
Two Boxes of Chocolate Bars			6		
Fishing Kit			7		
Step 5 Total columns under Steps 3 and 4	Individual Score				Team Score

	TEAM NUMBER 1	2	3	4	5	6
Step 6 Average individual score						
Step 7 Team score						
Step 8 Gain score (average individual score minus team score)						
Step 9 Lowest individual score						
Step 10 Number of individual scores lower than team score						

---

* Adapted from "Lost at Sea," by Paul M. Nemiroff and William A. Pasmore, in *The 1975 Annual Handbook for Group Facilitators*, ed. John E. Jones and J. William Pfeiffer (San Diego), p. 29, with the permission of University Associates, Inc.

SCORING INSTRUCTIONS

1. Record your individual ranking under **Step 1**.
2. Record the team's ranking under **Step 2**.
3. The experts' ranking is already recorded on the grid under **Key**. Record under **Step 3** the differences between your individual ranking of each item and that of the experts. For example, if the experts rank a particular item 9 and your answer is 3, record a 6 under "individual difference" for that item. (*Don't* record a minus sign if your ranking happens to be higher than the experts'.)
4. Similarly, record under **Step 4** the differences between the team's and the experts' ranking for each item.
5. Total the numbers in the first column to get your individual score (**Step 5**). Total the numbers in the last column to get the team score.
6. Record the average individual score for each team on the line labeled **Step 6**. (Ask for individual scores for each team, total them on the calculator, and divide by the number of members on the team.)
7. Copy each team's score (from Step 5) on the **Step 7** line under the team's number.
8. Record in **Step 8** the difference between each team's average individual score and the team score. If the team score is lower (lower equals better) than the average individual score, there was a gain (+) as a result of teamwork. If the team's score is higher than the average individual score, there was no gain (–).
9. Record in **Step 9** the lowest (best) individual score from each team.
10. Record in **Step 10** the number of individual scores from each team that were lower (better) than the team score.

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CONSENSUS DECISIONMAKING 5

Techniques To Accelerate Consensus

Description Participants learn and practice four techniques for accelerating consensus: the nominal group technique, multivoting, weighted ranking, and the sticker elimination method.

Performance objective To describe and practice several techniques for accelerating consensus.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
125 minutes total	Materials	For each working group of 5–9 people, ☐ a flipchart and markers For each participant: ☐ a copy of Techniques To Accelerate Consensus (Handout 1, pages 47–52) ☐ 50 3″× 5″ index cards ☐ five brightly colored stickers
10 minutes	**Why accelerate the consensus process?**	☛ Introduce the topic by covering the following points: “ Achieving consensus often requires a good deal of time. Each alternative must be adequately explored and everyone's concerns and perspectives addressed. A group may become mired in "process" and lose some of its effectiveness in the misguided belief that every decision—no matter how trivial—requires a thorough discussion to ensure consensus. A group may become bogged down in attempting to achieve consensus when there are many alternatives from which to choose.
	When to accelerate consensus	“ Several techniques can be employed to accelerate consensus when • the decision is not important enough to engage in a full-scale discussion on each point, or • the number of alternatives is so great that a full-scale discussion of each item is impractical and cumbersome.

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Four techniques

☛ Tell participants that they will learn and practice four techniques for accelerating consensus:

1. the nominal group technique
2. multivoting
3. weighted ranking
4. the sticker elimination method

Ask participants to form working groups of 5–9 people. Distribute a copy of Techniques To Accelerate Consensus to each participant.

---

45 minutes **Nominal group technique**

☛ Review the definition and five-step process of the nominal group technique with participants. Ask for questions and comments.

Practice session

☛ Ask each group to practice the nominal group technique by responding to this question:

> *What are the best approaches to stemming America's drug problem?*

Distribute 25 3″×5″ cards to each participant. Have each working group appoint a facilitator and spend 30 minutes completing the five-step nominal group technique. Tell the groups that you will be available to answer questions and to coach, if they request it.

Report out

☛ After 30 minutes, ask the groups for brief reports.

Benefits

☛ Ask participants to identify the benefits of the technique. Their answers should reflect these key points:

- Each individual is assured that his or her input is considered.
- The effect of dominating group members is neutralized.
- Individuals have the opportunity to come up with original, independent ideas without being judged.
- The group can discuss and evaluate a large number of ideas efficiently.

35 minutes	**Multivoting**	☛ Review with the participants the definition and process of multivoting in Techniques To Accelerate Consensus.
	Practice session	☛ Ask that each group select another person to act as facilitator and tally votes. Tell the groups that they will have 5 minutes to brainstorm potential solutions to the following problem and 15 minutes to conduct a multivoting process: *How can we best contain the spiraling costs of health care?* Distribute 25 3″×5″ cards to each participant. Remind the groups that you are available as a resource person, if needed.
	Report out	☛ After 20 minutes, ask for brief reports from the groups. Ask for questions and comments.
	Use	☛ Conclude by emphasizing that the multivoting technique is most helpful when a large number of ideas must be reduced to a small number.
10 minutes	**Weighted ranking**	☛ Review with the participants the definition and process of weighted ranking in Techniques To Accelerate Consensus. Point out that weighted ranking was used by the groups when they practiced the nominal group technique.
	Use	☛ Weighted ranking may be used independently of the nominal group technique and can be most effective in helping a group determine what issue or problem they should attack first or what method should be preferred over another. Ask for questions and comments on their use of this technique in the practice of the nominal group technique.

20 minutes	**Sticker elimination method**	☛ Review with participants the definition and process of the sticker elimination method.
	Practice session	☛ Ask the groups to select a facilitator and to spend 5 minutes generating potential solutions to the following problem: *How can American business become more competitive in the international marketplace?* When the groups have generated their lists, ask the facilitator in each group to distribute five stickers to each group member, including him- or herself. Tell participants that each of them is to place stickers next to the five potential solutions he or she most favors.
	Report out	☛ Ask each group to give a brief report on the solutions that received the greatest numbers of stickers. Ask for questions and comments on the sticker elimination method.
5 minutes	**Conclusion**	☛ Ask for questions or comments on any of the four consensus-accelerating methods. Conclude by suggesting that group members look for opportunities at their next meeting to use these techniques so that each technique becomes a practiced tool for achieving consensus quickly.

HANDOUT 1

Techniques To Accelerate Consensus

FOUR TECHNIQUES FOR ACCELERATING CONSENSUS

Nominal Group Technique

Definition A consensus-accelerating technique designed **to produce a silent and individual generation of ideas and a group consensus based on individual rankings** of several preferred ideas.

Process

Step 1 **Generate ideas silently.**

Each group member, in response to a problem, silently and independently generates three or more ideas and records each idea briefly on a separate index card. The facilitator collects the cards.

Step 2 **Record ideas exactly on flipchart paper.**

The facilitator tapes several pieces of flipchart paper side by side on the wall. He or she then divides the collected cards among several group members. These "recorders" then copy the cards' contents, exactly as written and with extra space between ideas, on the flipchart pages.

The facilitator assigns each idea a number.

Step 3 **Discuss and clarify ideas.**

The group discusses each idea, clarifying its meaning. A recorder, with the agreement of all group members, merges ideas or rewrites them for greater clarity (and assigns new numbers to newly formulated ideas).

Step 4 **Individually vote on and rank ideas.**

Each group member selects the five ideas he or she prefers and writes the number of each in the center of an index card, one number per card.

Each group member then ranks his or her five ideas by placing a ⑤ in the top right corner of the index card containing the most important idea, a ④ in the corner of the second most important idea, and so on.

The facilitator collects the index cards.

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Step 5

Display and discuss rankings.

The facilitator divides the index cards by idea number (the number in the center of the card) and distributes them to several group members to record the rankings. Under each idea on the flipchart pages, a recorder displays from highest to lowest the rankings (the circled numbers in the upper right corners of the cards) that group members have assigned.

The group discusses the outcome of the voting and ranking and seeks consensus.

If there is no consensus, the group conducts a second round of voting and ranking.

Multivoting

Definition A consensus-accelerating technique designed **to reduce a large number of ideas** to a more manageable three to five ideas quickly.

Process

Step 1 **Clarify ideas.**

The facilitator posts on the wall a list of ideas the group has previously brainstormed and assigns a number to each idea.

The group clarifies each idea. With agreement from group members, the facilitator edits ideas and combines similar ones.

Group members may lobby for their favorite ideas—but briefly, since final judgments will be based on voting.

Step 2 **Vote privately for half of the ideas.**

Each group member is allowed a number of votes equal to half of the total number of items on the list. The facilitator issues each group member that number of index cards. Each group member privately votes for an item by writing the item's number on an index card.

Step 3 **Tally votes and narrow the candidate list.**

The facilitator collects the index cards and tallies them on the flipchart by placing a tic mark below each item for each vote it receives.

With group input, the facilitator then circles those items receiving a relatively higher number of votes than the others. Circled items remain as candidates in a second round of voting.

Step 4 **Repeat steps 2 and 3.**

In the second and subsequent rounds of voting, each member casts a number of votes equal to half the number of items remaining. Votes are cast on index cards, collected, and tallied. Items receiving a relatively higher number of votes remain as candidates for another round of voting until the list is narrowed to the desired number of items.

Weighted Ranking

Definition A consensus-accelerating technique designed **to put a list of options into priority order** from individual rankings.

Process

Step 1

Clarify ideas.

The facilitator posts on the wall a list of ideas the group has previously brainstormed and assigns a number to each idea.

The group clarifies each idea. With the agreement of the group members, the facilitator edits ideas and combines similar ones.

Step 2

Individually rank all items.

Each group member writes the number of each idea in the center of a different index card.

Each group member privately assigns each item a ranking by writing a number between 1 and *n* (the total number of items) in the upper right corner of the card and drawing a circle around it. The higher the number, the higher the idea's priority.

Step 3

Total rankings to determine group priorities.

The facilitator collects the cards and separates them into piles by item number (the number in the middle of the card).

The facilitator records all of the rankings for each item next to the item on the flipchart and totals the rankings for each item.

The highest total represents the group's first choice; the second highest total, the group's second choice; and so on.

Sticker Elimination Method

Definition

A consensus-accelerating technique designed **to reduce a large number of options** to a manageable number or **to put a list into priority order quickly**.

Process

Step 1

Clarify ideas.

The facilitator posts on the wall a list of ideas the group has previously brainstormed and assigns a number to each idea.

The group clarifies each idea. With the agreement of the group members, the facilitator edits ideas and combines similar ones.

Step 2

Vote using stickers.

The facilitator distributes an equal number of brightly colored stickers to each group member.

Each group member places his or her stickers on the flipchart next to the items that represent his or her preferences or priorities. Several voting options are possible, depending on the outcome the group desires:

Option 1

If the group objective is **to narrow a long list** to a specific number of items, the facilitator gives each participant that specific number of stickers and asks him or her to place each sticker on a *different* item.

Option 2

If the group objective is **to determine the relative strength** of group members' preferences, the facilitator distributes a limited number of stickers (for instance, five) to each group member, who may use them as he or she chooses, including placing more than one sticker on an item, if desired.

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Option 3

If the objective is **to identify all of the important items** on a list, the facilitator makes an unlimited number of stickers available to each group member. Each group member places a sticker on each item he or she feels is important.

Option 4

Finally, different color stickers may be used to indicate preferences (e.g., green for first preference, red for second preference, etc.) in order to highlight the individual priorities assigned to each item.

Module 5

Communicating with Constituents

U.S. Department of Labor
Bureau of Labor–Management Relations
and Cooperative Programs

COMMUNICATI

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COMMUNICATING WITH CONSTITUENTS

Introduction

This module in the *Committee Effectiveness Training (CET)* series contains five exercises designed to provide group members with the skills and knowledge they need to communicate effectively with their constituents.

Please refer to the *Guidebook for the Trainer* for general information on the *CET* series, on doing a needs assessment, and on designing a workshop.

To help you select exercises to meet the needs of workshop participants, see the sections called General Considerations for the Trainer, Recommendations for Selecting Exercises, and Exercise Summaries in the pages that follow.

GENERAL CONSIDERATIONS FOR THE TRAINER

In developing a workshop to improve a group's ability to communicate effectively with its constituents, the trainer will consider several questions:

- Which exercises from the other seven modules in the *Committee Effectiveness Training (CET)* series will also be used to meet the group's perceived training needs?
- How much time is available to deliver a workshop? Will there be more time in the near future to deliver additional components of the *CET* series?
- Does the response to statement **5**, **13**, **21**, or **29** on the Needs Assessment Questionnaire indicate an acute need for a particular exercise? (See the **Indicator** listed under each exercise summary.)

RECOMMENDATIONS FOR SELECTING EXERCISES

With the group's needs and constraints in mind, the trainer should also consider the following recommendations when choosing exercises:

- Ongoing communication with its constituents is critical to a group's continued credibility and effectiveness in representing others. The first two exercises in this module are basic for groups with little communication experience. Three others feature skills used by more effective groups.
- *A Communication Experiment* is planned to heighten the group's awareness of the need to communicate frequently with its constituents. Unless such awareness is already present, this exercise should be used to introduce any communication training.
- *Developing a Communication Strategy* gives a group an opportunity to develop a concrete plan to implement two-way communication.
- *Interviewing Skills* provides an opportunity to practice and critique skills valuable in gathering information from constituents for solving problems.
- *Presentation Skills* is a practice session in which everyone makes a brief presentation and receives feedback. Learning these basic skills helps broaden the pool of members who can speak for the group's work.
- *Effective Use of the Media* is designed to encourage area or industry committees to build ongoing media relationships that support balanced coverage of labor–management relations.

EXERCISE SUMMARIES

1 *A Communication Experiment*, 90 minutes

Description	Participants "build a bridge" of loc blocks in an exercise that requires a design team and a construction team to cooperate. They recognize the importance of early and frequent two-way communication in reaching their goals. *Note:* This exercise requires two trainer/facilitators.
Performance objective	To describe the benefits of frequent, two-way communication with constituents.
Indicator	A low score on question 5 or 13 on the Needs Assessment Questionnaire.

2 *Developing a Communication Strategy*, 90 minutes

Description	Participants use brainstorming to explore the communication needs of both the constituents the group represents and the group itself. They then develop a strategy to meet those needs.
Performance objectives	To list the communication needs of the group and its constituents and To select and put in priority order five basic steps to meet those needs.
Indicator	A low score on question 5 or 13 on the Needs Assessment Questionnaire.

---

3 *Interviewing Skills*, 120 minutes

Description	Participants identify the information they need to collect from constituents and develop interview questions to elicit that information. They practice interviewing skills in pairs and give each other feedback on their interviewing skills. *Prerequisite:* The group will have developed key objectives or actions. The group should also be familiar with the five-step model described in the exercise, *A Group Problem-Solving Model*, in *CET* module 3.
Performance objectives	To recognize interviewing as a communication tool, To identify the information needed to address a problem and to develop interview questions to elicit that information, To conduct an interview, and To describe areas of improvement needed in interviewing.
Indicator	A low score on question 13 or 21 on the Needs Assessment Questionnaire.

---

4 *Presentation Skills*, 125–185 minutes, depending on the size of the group

Description	Participants learn a five-step model to guide them in preparing a presentation. They each prepare, rehearse, deliver, and receive feedback on a 5-minute presentation.
Performance objectives	To describe five steps in developing effective presentations, To prepare, rehearse, and deliver a presentation using the five-step model, and To recognize personal strengths and weaknesses in making presentations.
Indicator	A low score on question 29 on the Needs Assessment Questionnaire.

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5 *Effective Use of the Media*, 100 minutes

Description	Participants use the work session to identify messages to send, audiences to reach, and an initial strategy for enlisting the media to help accomplish key group objectives. *Prerequisite:* This exercise is most appropriate for an area or industry labor–management committee. The group will also have identified its key objectives or actions.
Performance objective	To develop an initial strategy for using the media to help accomplish key group objectives or actions.
Indicator	A low score on question 5 on the Needs Assessment Questionnaire.

COMMUNICATING WITH CONSTITUENTS 1

A Communication Experiment

Description Participants "build a bridge" of loc blocks in an exercise that requires a design team and a construction team to cooperate. They recognize the importance of early and frequent two-way communication in reaching their goals.

Note: This exercise requires two trainer/facilitators.

Performance objective To describe the benefits of frequent, two-way communication with constituents.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
90 minutes total	Materials	For each team of 5–7 people, ☐ a flipchart and markers For each design team, ☐ a bag of 150–200 loc blocks, legos, or other variously shaped, interlocking building blocks For half of the participants, a copy of: ☐ Design Team Briefing Sheet (Handout 1, page 13) ☐ Construction Team Briefing Sheet (Handout 2, page 15)
	Breakout rooms	Ideally, arrange for a separate breakout room for each team of 5–7 people. At a minimum, arrange a single breakout room large enough to hold all construction team members, meeting in teams of 5–7 members, with enough distance between teams to permit them to work without undue distraction. In no case should the design teams and construction teams have to hold their initial sessions in the same room.

5 minutes **Setting up the teams**

☛ Divide participants into design team members and construction team members. The ideal size for each team is 5. If the total number of participants exceeds 15, set up two sets of teams (i.e., Design Team A working with Construction Team A and Design Team B working with Construction Team B).

One trainer/facilitator will remain with and brief the design team members while the second trainer/facilitator accompanies the construction team members to one of the breakout rooms for briefing.

Make sure that each design team knows where to find its construction team and vice versa.

Instructions for the briefings, which take place simultaneously, follow.

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5 minutes

Design team briefing

☛ Distribute a copy of the Design Team Briefing Sheet to each design team member and read the instructions aloud slowly and clearly. (The simultaneous construction team briefing is described below.)

Tell team members that they have all the information they need to accomplish the tasks. Tell them that you will answer no further questions but will merely serve as observer and timekeeper.

Give each design team a bag of loc blocks.

If there is more than one design team and enough breakout rooms are available, assign each design team to its own breakout room.

Ask the design teams to begin their 30-minute session.

5 minutes

Construction team briefing

☛ Distribute a copy of the Construction Team Briefing Sheet to each construction team member and read the instructions aloud slowly and clearly. (The simultaneous design team briefing is described above.)

Tell team members that, for the time being, they have all the information they need to accomplish their task. Tell them that you will answer no further questions but will merely serve as observer and timekeeper.

Tell them that the construction task will begin in 30 minutes. Remind them to report to their respective design teams in 25 minutes even if they have not yet been summoned.

If there is more than one construction team and enough breakout rooms are available, send each construction team to its own breakout room.

30 minutes **Planning/ discussion sessions**

☛The design teams have 30 minutes to complete their designs and to brief their construction teams, whom they may call at any time.

If a construction team refuses to remain waiting and chooses to "invade" its design team's deliberations, observe the invasion and note what happens and why for discussion later in the "Processing the exercise" part of the session.

After 25 minutes, tell any construction teams that have not yet joined their design teams to report to the design teams for briefing on the design plans.

---

20 minutes **Building the bridge**

☛At the end of the 30-minute planning/discussion period, announce that the construction teams are to begin their work and to work as rapidly as possible.

Do not allow any further instructions, verbal or nonverbal, from the design team members. They are to function as silent observers.

Allow the construction teams to work for 20 minutes. Then ask for all work to stop.

30 minutes **Processing the exercise**

☛ Ask the design teams to discuss factually what occurred during their design and instruction process.

Ask the construction teams to report on their activities and to share what they felt while awaiting the design teams' summonses.

Ask the design teams to report on what they saw and felt as they observed the construction teams building "their" bridge.

Ask the construction teams to report on their task and feelings as they constructed the bridge.

When all the factual data and the feelings associated with the various tasks have been surfaced, ask team members why they think the exercise is titled *A Communication Experiment.*

Similarities to workplace group

☛ Finally, explore with the participants whatever parallels they may see

- between their design teams and their own workplace group and
- between their construction teams and the workplace group's constituents, who are affected by the group's plans and activities.

The outcome of the discussion should be a heightened sense of the need to maintain effective two-way communication "bridges" between the group and its constituents.

HANDOUT 1

A Communication Experiment

DESIGN TEAM BRIEFING SHEET

Criteria Using the building blocks provided, you are to design a bridge that best meets the following criteria:

- stability (able to withstand gentle nudges and wind from human breath)
- height (high enough to allow tall toy ships to pass beneath it)
- length of span (long enough between supports to allow many toy ships to pass under it at the same time)
- aesthetically pleasing (so beautiful that it will draw tourists from all over the world)

Tasks You will have a total of 30 minutes in which to accomplish two tasks:

- to develop your architectural design and
- to instruct your construction team in how to implement your design.

Time You must allow at least the last 5 of your 30 minutes for instructing your construction team. After the 30 minutes have elapsed, no more instructions may be given, either verbally or nonverbally.

Restrictions Since you are designers, not builders, you are not permitted to have more than one-fourth of the bridge assembled at any one time. In other words, as soon as one-fourth of the bridge is designed, it must be disassembled before another fourth of the bridge may be assembled.

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HANDOUT 2

A Communication Experiment

CONSTRUCTION TEAM BRIEFING SHEET

Task

You have the responsibility of carrying out a task according to instructions to be given to you by your design team.

Once you have begun the task (30 minutes from now), the design team can give you no further instructions.

Time

You will be scheduled to begin the task in 30 minutes.

The design team will call you in for instructions at any time. If you have not been summoned when 25 minutes have elapsed, report to the design team at that time to receive your instructions.

You are to complete the task as rapidly as possible.

Discussion

While you are waiting for a call from your planning team, discuss the following topics and record your answers on flipchart paper:

1. How can you best organize as a team to get the job done?
2. What feelings and concerns are you experiencing while waiting for your instructions?

Your notes on these topics will be helpful during the discussion following the completion of the task.

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COMMUNICATING WITH CONSTITUENTS 2

Developing a Communication Strategy

Description Participants use brainstorming to explore the communication needs of both the constituents the group represents and the group itself. They then develop a strategy to meet those needs.

Performance objectives To list the communication needs of the group and its constituents and

To select and put in priority order five basic steps to meet those needs.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
90 minutes total	Materials	For each working group of 5–9 people, ☐ a flipchart and markers
5 minutes	**Need for a communication strategy**	☛ Introduce the need for a communication strategy by covering the following points:

“ Almost every group represents a constituency and has a mandate to deliberate and act on its behalf.

The success of most committees, task forces, and other such representative groups depends on communicating with and involving the constituents in the group's work, as well as on getting the job done.

Many groups lose influence with their constituents and become insulated because they fail to pay enough attention to their constituents' needs for frequent and effective two-way communication.

☛ Introduce this exercise as a structured conversation designed to assist the group in

- identifying the communication needs of its constituents and
- developing a strategy to keep the group relevant, influential, and effective.

20 minutes	**Brainstorming communication needs**	☛ Divide participants into working groups of 5–9 people. Ask that each group select a recorder and spend 20 minutes brainstorming a list of the communication needs of its constituents. The brainstorming should address the question: *What kind of communication* ***to and from*** *the group would constituents need to feel informed, involved, and supportive of the work of the group?* Ask if there are any questions.
10 minutes	Report out	☛ If more than one group is involved in the brainstorming, allow each group to report their list of communication needs. On the flipchart, work with the groups to combine common elements into one master list of communication needs.
30 minutes	**Developing a communication strategy**	☛ Ask each group to spend 30 minutes discussing the master list of its constituents' communication needs and developing a strategy for meeting those needs. The strategy, developed by consensus, should include at least five things that the group can do on an ongoing basis to ensure effective communication with constituents. The list should be put in priority order.
20 minutes	Report out	☛ If more than one group is involved in developing lists of strategy elements, ask that each group share its list. Then work with the total group to combine the lists into one master list of strategies. Put the combined list in priority order by group consensus.

5 minutes	**Next steps**	☛ When the final list has been developed, remind the participants that each of the elements of their communication strategy will require careful implementation planning as well as monitoring and evaluation. Suggest that the group designate a lead person for each component of the strategy to help ensure its successful implementation, monitoring, and evaluation.

Interviewing Skills

Description Participants identify the information they need to collect from constituents and develop interview questions to elicit that information. They practice interviewing skills in pairs and give each other feedback on their interviewing skills.

Prerequisite: The group will have developed key objectives or actions. The group should also be familiar with the six-step model described in the exercise, *A Group Problem-Solving Model*, in *CET* module 3.

Performance objectives To recognize interviewing as a communication tool,

To identify the information needed to address a problem and to develop interview questions to elicit that information,

To conduct an interview, and

To describe areas of improvement needed in interviewing.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
120 minutes total	Materials	For each working group of 4–6 people, ☐ a flipchart and markers For each participant, a copy of: ☐ Deciding What Information You Need (Handout 1, pages 27–28) ☐ Conducting and Evaluating an Interview (Handout 2, page 29)
5 minutes	**Interviewing as a tool for communication**	☛ Emphasize the importance of a group's communication with its constituents by highlighting the following points: “ Support for a group's proposals and actions comes from constituents who have a sense of "ownership," who not only know what is going on but also feel themselves to be a part of it.

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“ Interviewing is a powerful tool for groups. It can be used at almost every stage in the problem-solving process, helping a group to

- define an organization's problems clearly,
- decide which problems are the most urgent,
- generate ideas for solutions,
- anticipate trouble spots, identifying driving and restraining forces, and
- provide data for evaluating the outcome and determining next steps.

Not only does interviewing serve a basic information-gathering function, it can reinforce the reputation of the group as truly representing those it serves. The "communication" that some groups settle for—posting minutes or sending out newsletters—goes only one way. Such communication is unlikely to elicit the constituent enthusiasm and support that can aid the group in improving organizational life.

Interviewing is a communication tool that can simultaneously provide information *and* enlist constituent support. Solutions are most successfully identified and implemented when constituents participate.

Done skillfully, interviewing is "clear hearing." However, careless or incomplete interviewing can mean that important information is overlooked or that employees' willingness to help can be turned off.

25 minutes

Developing an interview

☛ Ask participants to examine their group's list of key objectives or actions and to select one for which they need additional data to clarify the problem or to begin to generate solutions.

Tell participants that they will be using interviewing techniques to gather data about the problem.

Deciding what information you need

☛ Distribute a copy of Handout 1, Deciding What Information You Need, to each participant. Review the guidelines on the handout with participants.

Divide participants into working groups of 4–6 people. Ask the groups

- to discuss how they will approach the upcoming interviews on their chosen subject problem and
- to develop 10–15 questions that will help them elicit needed information from constituents.

40 minutes

Interviewing practice

☛ Distribute a copy of Handout 2, Conducting and Evaluating an Interview, to each participant.

Ask participants to review both the guidelines on the top half of the handout and the evaluation questions at the bottom in preparation for doing their own interviews. Ask if there are any questions or comments.

Ask each participant to pair up with another member of his or her working group.

Tell participants that each member of a pair will take a turn interviewing the other. The first interviewer will have 10 minutes to ask his or her partner as many of the 10–15 questions developed by their working group as he or she has time to ask.

When 10 minutes have elapsed, the interviewee will become the interviewer, asking as many of the remaining questions as he or she can in the second 10-minute interview period.

Tell participants to begin their interview practice. Remember to call time after the first 10 minutes and again after the second 10 minutes.

Feedback on interviewing techniques

☛ When the second 10-minute period is over, ask the pairs to spend 10 minutes giving each other feedback about their interviewing skills. Have each pair identify its most common interviewing problems.

Discussion: Improving interviewing skills

☛ Reconvene the total group and lead a brief discussion on the following:

Which interviewing techniques need to be improved?

45 minutes **Using the interview data**

☛ Ask participants to rejoin their original working groups of 4–6 people. Ask these working groups to spend 20 minutes

- pooling their interview data,
- refining the statement of the problem,
- describing the main elements of an action plan for dealing with the problem, and
- selecting a spokesperson to report their conclusions to the total group.

Ask each of the working groups to report on their data, problem statement, and suggested actions.

Lead the total group in a discussion of

- the similarities and differences among data gathered,
- the effect of the interviewing on the statement of the problem,
- the need for any additional information identified in the interviews,
- whether the action plans include steps for communicating the problem and plans with both the company members interviewed and other employees and managers, and
- how this information-gathering step relates to the five-step problem-solving model, which they learned about in an earlier workshop session.*

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* *See A Group Problem-Solving Model*, in *CET* module 3, *Group Problem Solving.*

best copy available

5 minutes

Conclusion: Value of interviewing

☛ Reemphasize

- the need to gather data to identify and understand organizational problems,
- the importance of the group's constituents as a source of those data,
- the value of interviewing as a communication tool, and
- the risk of becoming isolated if a group is not continually listening to and informing its constituents.

Caution participants against overusing the interview technique, particularly where data could be gotten by another method, such as doing a brief sample survey or inspecting organization records.

HANDOUT 1

Interviewing Skills

DECIDING WHAT INFORMATION YOU NEED

As you develop your interview questions, keep the following three guidelines in mind.

1. Limit your search.

Pick one or two aspects of the problem to investigate.

Focus on

- the needs of individuals,
- the needs of the organization,
- how the issue is affecting individuals, and
- how the issue is affecting the organization.

Be specific about the information you are seeking.

2. Ask the six basic questions.

Who is involved?

What is wrong?

Where is the problem taking place? How widespread is it?

When did the problem begin?

Why has the problem occurred? What are the causes?

How would you suggest solving the problem?

Have any steps been taken? What were the results?

What resources exist to solve the problem?

What stands in the way of your proposed solution?

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3. Look ahead.

Look ahead as you plan and conduct your interviews to the steps necessary once the interviews are complete. Remember that the information you gather should enable you to*

Diagnose the problem, including:

Identify the specific problem.

Describe the parts of the organization and the people affected.

Determine whether the organization is ready for change and describe the forces driving and restraining change.

Describe the anticipated effects of a change—or no change—on employees and managers.

Select a solution that

addresses the concerns expressed by the people interviewed.

Implement the solution, including:

Decide what actions must be taken and by which members of the organization.

Decide when actions will begin and how long they will take.

Determine the evaluation measures needed to monitor progress and to confirm completion.

Decide how to communicate progress and results and to whom.

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* How many of these steps your interview results will need to support depends on the complexity of the problem you are trying to solve. You may elect to divide the information-gathering process, first interviewing constituents to get data to help define the problem and later conducting a second information-gathering activity to get ideas for or to test solutions.

HANDOUT 2

Interviewing Skills

CONDUCTING AND EVALUATING AN INTERVIEW

Guidelines on Conducting an Interview

☐ Make your questions clear, relevant, and meaningful.
☐ Use a manageable number of questions—20 or fewer.
☐ Introduce yourself and explain the purpose of the interview.
☐ Explain how the information is going to be used.
☐ Make the questions open-ended. Do not spend time eliciting information you already know. Avoid "leading" the interviewee.
☐ Be relaxed. Try to put the interviewee at ease.
☐ Summarize and restate what the interviewee tells you.
☐ Anticipate resistance, but avoid being defensive.
☐ Thank the interviewee.

Evaluating Interviewing Skills*

☐ Did the interviewer introduce him- or herself and explain the purpose of the interview?
☐ Did the interviewer explain how the information provided was to be used? By whom? In what form? Confidentially?
☐ Was the interviewer at ease? Did he or she put the interviewee at ease? What verbal cues or nonverbal behavior helped?
☐ Did the interviewer try to direct the interviewee's thinking or responses?
☐ Did the interviewer obtain the essential information the interviewee had about the situation?

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* Adapted from "Roxboro Electric Company: An OD Role-Play," by Harvey Thomson et al., in *The 1974 Annual Handbook for Group Facilitators*, ed. J. William Pfeiffer and John E. Jones (San Diego), p. 30, with the permission of University Associates, Inc.

COMMUNICATING WITH CONSTITUENTS 4

Presentation Skills

Description Participants learn a five-step model to guide them in preparing a presentation. They each prepare, rehearse, deliver, and receive feedback on a 5-minute presentation.

Performance objectives To describe five steps in developing effective presentations,

To prepare, rehearse, and deliver a presentation using the five-step model, and

To recognize personal strengths and weaknesses in making presentations.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
125–185 minutes total*	Materials	☐ a flipchart and markers For each participant: ☐ Presentation Design Worksheet (Handout 1, pages 37–40) ☐ several pages of flipchart paper and markers ☐ as many index cards as there are participants
	Flipcharts	The trainer may wish to prepare the suggested flipcharts, indicated by the ✏ symbol, before the workshop session.
5 minutes	**Presentations: Sharing the responsibility**	☛ Tell participants that oral presentations can be a valuable component in a group's strategy for effective communication with constituents. Suggest that a group *not* rely on the chair, team leader, or facilitator to make all of its presentations. Instead, have members take turns, sharing the responsibility. Many groups find that the variety in style and delivery helps them reach a wider audience and underscores the team nature of their work.

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* After the first 60 minutes (presenting the model and preparing and rehearsing presentations), the length of the session will depend upon the number of participants. Allow 8–10 minutes per participant for delivering presentations and completing reaction cards.

15 minutes

Overview of the five-step model

☛ Tell participants that this exercise will introduce a five-step model for preparing a presentation. Each of them will apply that model in preparing, rehearsing, and delivering an oral presentation. They'll receive one-on-one feedback on their rehearsal and a brief written reaction to their oral presentations.

✏ Record each of the five steps on the flipchart as you discuss it.

Step *1*

“ **Develop rapport with your audience.**

To gain an audience's undivided attention, a speaker must develop rapport with the audience—make the audience comfortable. Put your real self forward. Don't begin with a joke, for instance, if telling jokes is not your customary practice. Use everyday language, not technical jargon.

Step *2*

“ **Make clear what the presentation will accomplish and how you will proceed.**

There is an old maxim about delivering a message effectively:

> *Tell them what you are going to tell them,*
> *tell them, and*
> *tell them what you have told them.*

In step 2, you are *telling them what you are going to tell them*.

Focus first on your **objectives**, so that your listeners can anticipate what you will present. Give an **overview** of your presentation—a roadmap to help the audience follow your reasoning.

If possible, present both the objectives and overview visually, using a flipchart, overhead transparencies, or slides.

It is in this second step that you motivate your audience to become involved in what you are going to be talking about.

Step *3*

❝ **Deliver the body of your presentation.**

You have given the audience their roadmap in step 2. Now you lead them on the journey.

To the extent that what you have to say is well organized and follows the roadmap you gave the audience, they will be comfortable and feel some level of control over where they are being led.

But it is also important to remember that journeys can be tiring. The audience can become restless. Attention spans are limited.

Do not become so involved in covering your subject matter that you forget the audience.

Using appropriate **audiovisual aids** and finding ways to engage the audience in **dialogue** will help to keep them involved.

Asking **questions** of the audience, **checking** with them to be sure they are with you, and giving them an opportunity to **compare notes** with their neighbors are three techniques that will help sustain audience interest.

And, of course, being brief and to the point is always appreciated by any audience.

Step *4*

❝ **Summarize your main points.**

Your summary is more than a repeat of what you have already said.

To summarize is to **reinforce the importance** of the information and to emphasize the **interconnectedness** of the main ideas you have presented.

Provide the audience with an opportunity to **react** to your summary.

Always allow time for **questions** and comments from the audience, so that you can complete the transfer of the information they expect.

Step 5

“ **Conclude with a call for action.**

In step 2, you stated what you wanted to accomplish in the presentation.

In step 5, you want to challenge the audience to use the information you have delivered to take action.

You want them to become part of the solution to whatever problems your group is addressing.

You want to leave your audience energized, stimulated, and committed to giving more consideration to what you have presented.

In short, you want to leave the audience wanting more.

Questions on the model

☛ Distribute a copy of the Presentation Design Worksheet to each participant. Ask participants to page through the worksheet, which follows the model you have just described, and ask if they have questions or comments on the five-step model.

---

20 minutes **Preparing the presentations**

☛ Give each participant several pages of flipchart paper and markers.

Tell participants that they will have 20 minutes to design an individual, 5-minute presentation on the subject

> *What our group ought to do to improve its effectiveness*

They are to use the worksheets to develop and outline their scripts and use the pages of flipchart paper to make visual aids to reinforce their presentations.

---

20 minutes **Rehearsing the presentations**

☛ When 20 minutes have elapsed, ask each participant to find a partner with whom to rehearse presentations and exchange suggestions for improving both content and style of presentation.

Style

☛ Tell participants that style is the "personality" component of the presentation. It includes the speaker's:

- revelations about him- or herself
- manner (formal, informal, serious, humorous, enthusiastic, etc.)
- physical movement and gestures
- voice volume, pitch, and pace
- involvement with the audience

✏ You may wish to note these style items on a flipchart for reference.

☛ Tell the pairs that they will have 20 minutes—10 minutes per person—to rehearse their presentations and to share suggestions.

Remind them that *no* presentation may exceed 5 minutes.

60–120 minutes (8–10 minutes per participant)

Delivering the presentations

☛ Explain the following feedback and delivery guidelines for the presentations:

Reaction cards

“ After each presentation, listeners will write the speaker's name on the top of an index card and complete two statements:

1. The thing I liked best about your presentation was . . . .
2. Your presentation would have been even better if you had . . . .

✏ Record these two statements on the flipchart for reference.

☛ Tell participants that these "reaction cards" will be collected at the end of each presentation and handed directly to the presenter.

Time limit

☛ Warn participants that any presentation not completed in 5 minutes will be interrupted.

Tell people to relax and have fun.

Call the first presenter.

---

5 minutes

Concluding remarks

☛ When all presentations are complete, commend participants on their willingness to practice presentation techniques under such tight time constraints.

Encourage them to use the five steps to help them be more effective in *any* presentation that might be called for within the group as well as before constituents.

HANDOUT 1

Presentation Skills

PRESENTATION DESIGN WORKSHEET

Step 1 **Develop rapport with the audience.**

My aim is to make my audience comfortable with me, with my topic, and with the manner in which I will be presenting my topic.

1a I will put my real self forward by doing and saying the following:

1b I will make my audience comfortable with my topic by doing and saying the following:

1c I will make my audience comfortable by adopting the following manner or style of presenting:

Step 2 Make clear what the presentation will accomplish and how you will proceed.

2a I want to accomplish the following with my presentation:

2b My presentation can be outlined as follows:

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Step 3 Deliver the body of the presentation.

3a I will follow my outline to keep me organized as I develop my presentation. I will keep my audience involved by using the following audiovisual aids:

3b and I will engage the audience in dialogue by:

Step 4 **Summarize the main points.**

I will reinforce the importance of what I have said by doing and saying the following:

Step 5 **Conclude with a call for action.**

I will challenge my audience to do the following:

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COMMUNICATING WITH CONSTITUENTS 5

Effective Use of the Media

Description Participants use the work session to identify messages to send, audiences to reach, and an initial strategy for enlisting the media to help accomplish key group objectives.

Prerequisite: This exercise is most appropriate for an area or industry labor–management committee. The group will also have identified its key objectives or actions.

Performance objective To develop an initial strategy for using the media to help accomplish key group objectives or actions.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
100 minutes total	Materials	For each working group of 5–9 people, ☐ a flipchart and markers For each participant, a copy of: ☐ two editorials on labor–management cooperation in Erie County, Pennsylvania (Handout 1, pages 45–46) ☐ front page of The Herald Labor–Management Supplement (Handout 2, page 47)
	Flipchart	The trainer may wish to prepare the flipchart, indicated by the ✏ symbol, before the workshop.
20 minutes	**Taking the initiative**	“ Public perception is often influenced less by actual experience than by what is read in the newspapers and magazines and what is heard on radio and TV. An area or industry labor–management committee may need to take the initiative in using the media to influence public opinion to further its own ends. It's a truism that bad news gets the attention and sells newspapers while good news remains unsung. A bitter strike can capture the headlines in a community and leave people with the belief that adversarial behavior between labor and management is the norm.

more ⇨

" As labor–management committee members, we cannot leave the shaping of public opinion to the reporter covering the negative stories.

We must cultivate ongoing, positive relationships with reporters, newscasters, and other media representatives, and we must provide frequent and timely information that will further our aims.

Moreover, we must be aware of our own biases and of how they may color our responses when we are asked to comment on a particular issue.

The more we respect those whose role it is to disseminate and comment upon information, and the more we begin to view the media as a potential ally to further our objectives, the more impact our labor–management committee will have.

Sample media initiatives

☛ Distribute to each participant a copy of Handout 1, a pair of editorials, written a year apart, on labor–management cooperation in Erie County, Pennsylvania. Ask participants to read these brief pieces by Corrine Halperin, executive director of the Northwestern Pennsylvania Area Labor–Management Council, and to think about the potential effect of such "good news" on public opinion.

Distribute to each participant Handout 2, a copy of the front page of The Herald Labor–Management Supplement. Explain that this represents a 12-page labor–management supplement, packed with examples of constructive cooperative initiatives. Ask participants how such a supplement might alter their community's self-perception?

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65 minutes **Developing a media strategy**

☛ Divide participants into working groups of 5–9 members. Give the groups the following guidelines for developing a media strategy:

“ Editorials and supplements don't just happen. They come as a result of a committee's considered strategy to use the media effectively to promote the concepts and initiatives that the committee believes are important.

You will have 60 minutes in working groups to articulate a strategy for effectively using the media.

The following four tasks will help you to structure your discussion and come up with an initial strategy:

1. Reflect on your committee's key objectives and determine what **messages** you want to send and what **audiences** you want to target.
2. Brainstorm a list of possible **vehicles** (newspapers, magazines, radio spots, TV spots, etc.) that might effectively carry your messages to your target audiences.
3. Develop a **strategy** for using the media that takes costs and benefits into consideration and determine which of the vehicles you brainstormed would most appropriately "fit" your strategy.
4. Decide on a **potential project** that would benefit from your use of the media.

✏ Write these four tasks on the flipchart for reference.

15 minutes	**Report out and consensus**	☛ After the discussion, ask the working groups to report on their strategies and potential projects. Lead a discussion aimed at achieving consensus on a common strategy and an initial project.

HANDOUT 1

Effective Use of the Media

SAMPLE MEDIA INITIATIVE*

Labor, Management Partnership Will Help Erie Survive Changes

by Corrine Halperin, Executive Director
Northwestern Pennsylvania Area Labor–Management Council

Last year was a tough period for labor-management relations in northwestern Pennsylvania. Tough negotiations, tough strikes, tough settlements, and tough times confronted several companies and unions that, in the past, had been able to settle their differences peaceably at the bargaining table.

According to the Federal Mediation and Conciliation Service's statistics for 1986-87, the four local strikes represented less than 2 percent of the negotiations which took place in Erie County, but the anguish, violence and hard feelings which marked some of the work stoppages won't soon be forgotten by those involved, or by the community at large.

With our assigned mission of enhancing labor-management relationships in Erie, the Northwestern Pennsylvania Area Labor-Management Council has felt the effects of these problems, and we are striving to overcome the difficulties which faced us all this past year.

We look forward in 1988 to renewing our efforts, in keeping with our mission and the new initiatives coming out of Harrisburg. Governor Robert Casey's Partnership For Progress mirrors our own mission—improvement of labor-management relationships and improving the labor image of Erie (and Pennsylvania). The initiative calls for the establishment of an Office of Labor-Management Cooperation under the Department of Labor and industry.

This office, along with Pennsylvania MILRITE Council (our main funding source), adds emphasis to our role as the agency responsible for developing a strategy and action agenda to bring about these changes. Our involvement with Erie Conference's Community Agenda, and the Erie Excellence Council of the Chamber of Commerce will help ensure that the community, and labor and management in particular heed the warning presented by Dr. Myron Tribus at a recent Chamber luncheon—"Cooperate or evaporate."

Erie industry has no intention of evaporating. Everywhere we go we find a new openness to cooperative ventures. Attendance at our workshops and Council events is growing. Council membership, open to all who truly believe in cooperation as the wave of the future, is expanding.

Our goals for 1988 are simple, our strategies clear. We will work toward making labor more aware of the competitive problems facing Erie industry. We will encourage management to communicate more openly with labor about business conditions, problems, and plans. We will help train both sides of the bargaining table to work together to solve the problems which confront our industries and our community.

We will encourage realistic expectations for the future, dealing specifically and extensively on the one hand with productivity and quality, so Erie industry can compete more effectively worldwide, and with the quality of working life on the other hand.

We all have a stake in the future of our community's manufacturing base. Cooperation between labor and management is essential to the partnership which, in turn, will help make Erie a better place for us all to work and live.

*Reprinted with permission from The (Erie, Pennsylvania) Times-News, January 31, 1988.

Labor–Management Cooperation Remains Strong in Erie County

by Corinne S. Halperin, Executive Director
Northwestern Pennsylvania
Area Labor–Management Council

During 1988, the Northwestern Pennsylvania Area Labor–Management Council took an objective look at the labor-management climate in Erie County. As in every year, the area "won a few and lost a few," but as a whole, what we saw was encouraging.

As part of the Erie Conference's Business, Economy, and Jobs Task Force, we studied both the reality and perception of Erie's business climate. The good news is that, for the most part, innovative, cooperative, productive, and quality labor relationships exist in our community. The bad news is the perception is less positive.

We are blessed with a highly skilled and talented labor force. A minority of these workers (about 30 percent) are unionized. They have a strong, vocal union leadership which plays an active and vital role in our community—sometimes adding spice to our business climate "stew."

Yet, by all objective measures, when compared to national and statewide statistics, Erie has a good record in contract settlements and in cooperative efforts to keep the workers working, even after a contract runs out.

During the period from January 1, 1988, through October 31, 1988, the Federal Mediation and Conciliation Service reports that strikes over contracts occurred in seven area businesses in Crawford, Erie, and Potter counties, while 195 contracts were settled peaceably to the mutual satisfaction of both labor and management. Only one of those strikes took place in Erie County, with national statistics averaging 4 percent per year over the past 4 years, the three-county total of 3.4 percent is good. Erie's 0.004 percent for the same period is excellent!

While not reported as part of statistical measures, many local unionized facilities—such as National Forge, Parker Die Castings and the City and County of Erie—extended contracts rather than go out on strike until a settlement was reached. School districts in Erie County have developed a cooperative posture and settled contracts early in an arena which often erupts in strikes around Pennsylvania.

The average worker, his union leadership, and management are learning, through bitter past experiences, that the ramifications and long-lasting hostilities which occur with a strike, can destroy the hard-won relationships of trust and progress which take years to establish.

In union and nonunion companies alike, a growing number of employee-involvement programs are increasing productivity and quality in workplaces around Erie County. These day-to-day activities help area businesses produce high quality products (and profits) which are so necessary to a stable economy. The trust and mutual respect evident in these companies make the future for Erie County a bright one.

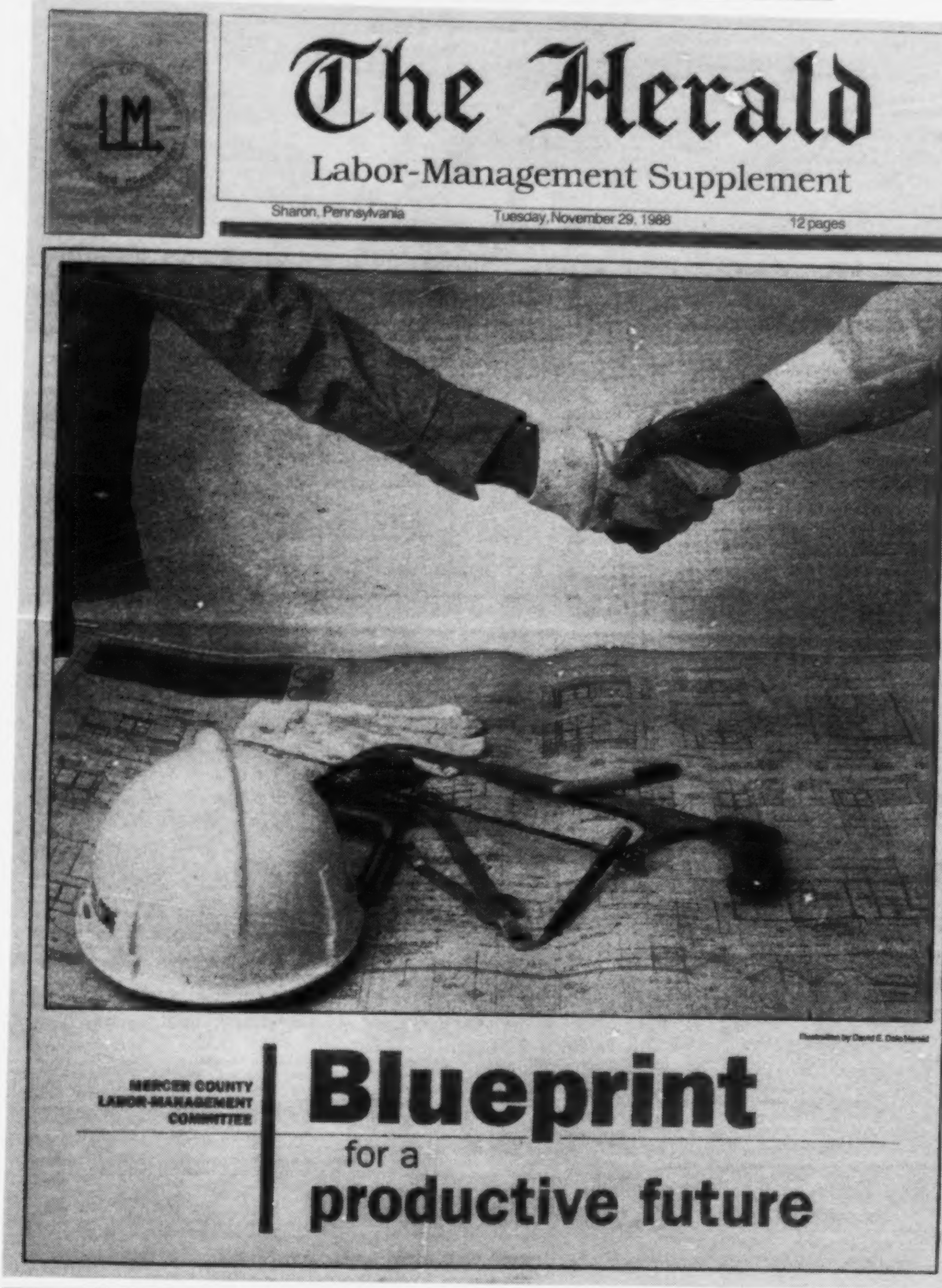
The Northwestern Pennsylvania Area Labor–Management Council has been working to provide assistance and support for employee involvement committees in our community. Our goal for 1989 is to spread the word on the positive labor–management relationships with which we are familiar and make sure that the community appreciates and understands the contribution that labor and management both make to the quality of life in our corner of Pennsylvania.

*Reprinted with permission from The Erie (Pennsylvania) Daily Times, Progress Edition, January 29, 1989.

HANDOUT 2

Effective Use of the Media

SAMPLE MEDIA INITIATIVE*



The Herald

Labor-Management Supplement

Sharon, Pennsylvania Tuesday, November 29, 1988 12 pages

MERCER COUNTY
LABOR-MANAGEMENT
COMMITTEE

Blueprint
for a
productive future

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*Reprinted with permission from The (Sharon, Pennsylvania) Herald, November 29, 1988.

Module 6

Understan
Self
and Others

ding

U.S. Department of Labor
Bureau of Labor–Management Relations
and Cooperative Programs

The use or mention in this series of any commercially available assessment instrument does not constitute endorsement of that instrument by the U.S. Department of Labor. Rather, such use models one possible application of one such tool to the task of helping a group become more effective.

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Introduction

This module in the *Committee Effectiveness Training (CET)* series contains four exercises designed to provide group members with an improved understanding of themselves and of others in their group.

Please refer to the *Guidebook for the Trainer* for general information on the *CET* series, on doing a needs assessment, and on designing a workshop.

To help you select exercises to meet the needs of workshop participants, see the sections called General Considerations for the Trainer, Recommendations for Selecting Exercises, and Exercise Summaries in the pages that follow.

GENERAL CONSIDERATIONS FOR THE TRAINER

In developing a workshop session to help group members improve their understanding of themselves and of others, the trainer will consider several questions:

- Which exercises from the other seven modules in the *Committee Effectiveness Training (CET)* series will also be used to meet the group's perceived training needs?
- How much time is available to deliver a workshop? Will there be more time in the near future to deliver additional components of the *CET* series?
- How old is the group and how long have most current members been active in the group? (The exercises on clarifying values may be less useful in a mature group.)
- How positive is the relationship between the labor and the management representatives in the group? Might there be strong resistance to using an instrument to describe personality or thinking styles? (Expect some resistance. However, group members will quickly recognize the benefits as they learn more about the instruments.)
- Does the response to statement **6**, **14**, **22**, or **30** on the Needs Assessment Questionnaire indicate an acute need for a particular exercise? (See the **Indicator** listed under each exercise summary.)

RECOMMENDATIONS FOR SELECTING EXERCISES

With the group's needs and constraints in mind, the trainer should also consider the following recommendations when choosing exercises:

- Either *Clarifying Values: Banners* or *Clarifying Values: The Promotion* will help group members explore and articulate their personal values and better understand those of fellow group members. The first exercise is recommended for groups with no serious conflicts or antagonisms, since the self-expression involved in creating a banner may be perceived as more personal. The second exercise is less threatening, since personal values are reflected in perceptions and judgments expressed about fictional characters in a story.
- Two exercises—one on the *Myers–Briggs Type Indicator* and the other on the *Inquiry Mode Questionnaire*—can give participants tools for describing their preferences and those of fellow group members and for talking about how individual differences and similarities affect group work. Either or both may be used.
- *Using the Myers–Briggs Type Indicator To Promote Teamwork* acquaints participants with a commonly used tool for helping people understand themselves and their working relationships with others. The MBTI requires a certified trainer.
- *Using the Inquiry Mode Questionnaire To Promote Teamwork* may substitute for or supplement *Using the Myers–Briggs.* Because the InQ does not require a certified trainer, it may be more practical than the MBTI.

EXERCISE SUMMARIES

1 *Clarifying Values: Banners*, 75 minutes

Description	Participants use self-reflection to explore their individual values and goals. They then communicate these values and goals by creating personal banners.
Performance objectives	To describe personal values and goals, To learn about the values and goals of fellow group members, and To consider the effect of member values and goals on group efforts.
Indicator	A low score on question 6 or 30 on the Needs Assessment Questionnaire.

2 *Clarifying Values: The Promotion*, 85 minutes

Description	Participants react to a fictional story by individually ranking its five characters from most to least sympathetic. They clarify their own values in describing the reasons for their rankings, and they practice clarifying their understanding of others' values while listening without judging.
Performance objectives	To recognize and describe the personal values that affect a decision, To understand and be able to describe the values of others, and To exchange information on a sensitive situation without judging.
Indicator	A low score on question 6 or 30 on the Needs Assessment Questionnaire.

3 *Using the Myers–Briggs Type Indicator To Promote Teamwork*, 160–170 minutes, depending on use of a role play

Note ***This exercise should only be conducted by a certified MBTI trainer. Your Regional Representative at the Bureau of Labor–Management Relations is a certified MBTI trainer and can also provide information on finding a certified MBTI trainer in your area.***

Description In an abbreviated format, participants learn a conceptual model for understanding how they prefer to gather information and make decisions. After learning the purpose of the Myers–Briggs Type Indicator, participants read or role play the four preferences, predict their preferences, review their profiles, and learn about the characteristics measured. They develop a group profile and discuss how the data and profiles will help the group make the most of each member's strengths. Finally, they learn about temperament theory, another tool for understanding their preferences.

Performance objectives To describe MBTI theory and temperament theory,

To describe personal preferences and temperament,

To recognize the strengths of each group member and his or her potential contributions to achieving group goals, and

To profile the group and discuss the implications of that profile for group problem solving.

Indicator A low score on question 14 or 22 on the Needs Assessment Questionnaire.

6.0–i(103190)

4 *Using the Inquiry Mode Questionnaire To Promote Teamwork*,
145–170 minutes, depending on the use of optional exercises

Description Participants use the Inquiry Mode Questionnaire (InQ) to discover their preferred thinking styles and those of other members of their group. They learn to recognize the five basic thinking styles and the strengths of each. They develop a group profile and discuss the group's strengths and deficiencies.

No certification is required to conduct this exercise.

Performance objectives To describe personal thinking style and to recognize its strengths and deficiencies,

To learn about the thinking styles of other group members, including their strengths and potential contributions to reaching group goals, and

To examine the strengths and deficiencies of the group, based on the group's profile.

Indicator A low score on question 14 or 22 on the Needs Assessment Questionnaire.

UNDERSTANDING SELF AND OTHERS 1

Clarifying Values: Banners

Description	Participants use self-reflection to explore their individual values and goals. They then communicate these values and goals by creating personal banners.
Performance objectives	To describe personal values and goals, To learn about the values and goals of fellow group members, and To consider the effect of member values and goals on group efforts.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
75 minutes total	Materials	For each participant: ☐ paper and pencil ☐ several sheets of flipchart paper ☐ 3–4 marking pens of different colors ☐ a copy of the Instruction Sheet (Handout 1, page 11)
	Flipchart	The trainer may wish to prepare the flipchart, indicated by the ✏ symbol, before the workshop session.
5 minutes	**Introduction to banners**	☛ Tell participants that the purpose of this exercise is to help them explore and clarify their own values and goals. Personal values and goals influence a person's behavior in a group. With a clearer understanding of these aspects of self, a group member can • be more open and honest in group activities, • understand the role his or her own motivations play in group decisions, and • better respect and appreciate the values and goals influencing others in the group.

Adapted from "Banners: A Value-Clarification Activity," by Morris A. Graham, in *The 1979 Annual Handbook for Group Facilitators,* ed. John E. Jones and J. William Pfeiffer (San Diego), pp. 9–12, with the permission of University Associates, Inc.

Definitions of value and goal

☛A value may be defined as

that which is important to someone and which affects the way a person acts.

A goal may be defined as

a desired state or end
which someone strives to reach.

Purpose of banners

☛Tell participants that once they have reflected on their own values and goals, they will be invited to present them to the other group members in a pictorial announcement, or banner.

Banners were used for centuries to announce who a person or a group was and what they represented.

Banners carried images to represent characteristics and commitments. For example, a lion has come to mean strength and courage; a cross, faith; a cornucopia, abundance; and a scale, justice.

Colors, too, can have symbolic aspects. For example, red might represent blood, loyalty, or revolution and green might allude to youth or growth.

Relaxation and reflection

☛ Ask participants to find a comfortable place to sit. Tell them to relax, close their eyes, and breathe deeply. Tell them that they will remain relaxed with their eyes closed for 10 minutes.

Tell them that, to stimulate their exploration, you will read a reflection and provide them with some guiding questions. Read the following to them, slowly and with conviction.

2 minutes Reading

“ Most people have great potential. Our values and goals affect how we use our potential. Our most obvious goals—and the easiest to talk about—are often relatively short-range, material, and self-aggrandizing. They might include, for example, to make more money, to send the children to college, to buy a certain car, to take a special vacation.

But these goals may lack a fundamental purpose that is greater than material objects or the here-and-now situation.

To become aware of deeper goals, of our major "life values," we must be completely honest with ourselves. What has real meaning for us? Who or what are we about? What can we do, and what do we want to do? In short, who are we?

During the 10-minute reflection period, think about *your* purpose in life, *your* cherished values, *your* highest goals and aspirations.

Explore your weaknesses and strengths. Reflect on your separateness from and relationships with other people. Notice your inner reactions as you think about these things.

more ➪

3 minutes	Guiding questions	❝ As you are reflecting on these things, here are some guiding questions to ask yourselves to help direct and clarify your thinking: *Who am I?* *What have been my happiest moments?* *What are three things I do well?* *What are three things I would like to do well?* *What are three things I want to improve about myself?* *What is one thing I would want said of me if I were to die today?* *What are three accomplishments for which I would like to be remembered?* *What are my three or four highest priority goals?* ✏ You may wish to copy the questions above to a flipchart to guide participants' reflections.
10 minutes	Reflection period	☛ Tell participants you will let them know 3 minutes before the end of the reflection period. Tell them to begin their reflection.
5 minutes	Recording thoughts and impressions	☛ At the end of the reflection period, give each participant a sheet of paper and a pencil. Ask participants to spend 5 minutes writing down some of their key thoughts and impressions from the 10-minute reflection period.

25 minutes	**Creating a banner**	☛ Distribute copies of the Instruction Sheet. Review the instructions, and ask participants to start their banners. Allow 25 minutes to complete the banners.
25 minutes	**Raising the banners**	☛ When the banners are completed, explore the personal expressions and the effects of personal goals on the group as follows. Have participants take turns "raising their banners"—that is, explaining the symbols and statements on their banners to the other members of the group.
	Effects on the group	☛ Lead participants in a discussion of the themes in the banners and the "action" implications for their group work. Ask: *How will your new understanding of yourself* *and what you have learned* *about others in your group* *affect your efforts to build an effective group?*

HANDOUT 1

Clarifying Values: Banners

INSTRUCTION SHEET*

1. Review the impressions you wrote down following the reflection period.
2. Create four symbols (pictures) that best represent your deepest and most cherished values and goals.
3. Draw the outline of a banner or heraldic shield and divide it into four quadrants.
4. Within each quadrant, draw one of your four symbols and indicate its order of importance in your life (1, 2, 3, 4).
5. Because colors are also symbolic, try to use colors that have meaning for you.
6. If you wish, you may include on your banner words that describe your goals, aspirations, and values.

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* Adapted from "Banners: A Value-Clarification Activity," by Morris A. Graham, in *The 1979 Annual Handbook for Group Facilitators*, ed. John E. Jones and J. William Pfeiffer (San Diego), p. 12, with the permission of University Associates, Inc.

UNDERSTANDING SELF AND OTHERS 2

Clarifying Values: The Promotion

Description	Participants react to a fictional story by individually ranking its five characters from most to least sympathetic. They clarify their own values in describing the reasons for their rankings, and they practice clarifying their understanding of others' values while listening without judging.
Performance objectives	To recognize and describe the personal values that affect a decision, To understand and be able to describe the values of others, and To exchange information on a sensitive situation without judging.

TIME	**SESSION OUTLINE**	**TRAINER'S AIDS AND CUES**
85 minutes total	Materials	For each working group of 5–9 people, ❑ a flipchart and markers For each participant, a copy of ❑ Case History Sheet (Handout 1, pages 17–19)
20 minutes	**Influence of personal values on group work**	☛ Tell participants that they will be identifying and clarifying values without passing judgment. Explain that it's not just the facts surrounding an issue that determine the outcome of group work. Each group member's perceptions and contributions reflect or are filtered through that individual's personal value system. Thus each group member must be • aware of his or her own values and of how those values might affect his or her decisions, • aware of the values of others and of how those values might influence the decisions others make, and • able to clarify the concerns and values of others without judging.

Adapted from "The Promotion: Value Clarification," by Janet Mills Bentz, in *A Handbook of Structured Experiences for Human Relations Training, v. 9*, ed. J. William Pfeiffer (San Diego), pp. 152–158, with the permission of University Associates, Inc. A previous version was published in *Developments in Business Simulation and Experiential Exercises, v. 8* (the proceedings of the 8th Annual Conference of the Association for Business Simulation and Experiential Learning, or ABSEL), ed. William D. Biggs and David J. Fritzsche, pp.1–3; copyright © 1980, ABSEL.

☛ Tell participants that, by the end of this session, they should be able to describe some of the values affecting their judgments as well as those affecting the judgments of other group members.

Distribute a copy of Handout 1, the Case History Sheet, to each participant.

Ask participants to read the handout and to follow the instructions. Tell them that they will have about 15 minutes to complete their task, and ask them to begin work.

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25 minutes

Discussion: Clarifying values

☛ When all participants have finished making their individual rankings, divide them into working groups of 5–9 people.

Ask them to share their lists in their working group, giving their reasons for ranking the characters as they did.

Tell them that, during their individual presentations, other working group members may ask questions but only for the purpose of clarifying their understanding of the presenter's reasoning and values. No one is to attempt to persuade another person that his or her decision is correct or incorrect.

Ask that, if all of a group's members agree on a particular placement for one or more of the characters, the group's recorder put those character names and positions on a flipchart. If a group does not agree on any aspect of the listing, they will not post any names or positions on the flipchart.

Tell the groups that they will have 20 minutes to discuss the list, and ask them to begin.

20 minutes **Discussion: Effects on group work**

☛ Ask that working group members, remaining in their working groups, discuss their reactions to the activity. Suggest that the following questions be included in the discussion:

> *Which answers surprised you?*
>
> *Which answers fit what you knew of the others in the group?*
>
> *What did you learn about your own or others' values, based on the reasons they gave for the placements assigned?*

✏ You may wish to write the questions above on the flipchart for reference during the discussions.

10 minutes Report out

☛ Reconvene the total group and ask each working group to report on

- their consensus list, if one was created, or the diversity of viewpoints expressed, and
- their group's reactions to the activity.

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10 minutes **Lessons learned**

☛ Ask participants to identify all of the values that emerged as influences on group members' judgments when they ranked the story's characters. Record these values on a flipchart.

Finally, ask participants

> *What are some ways that you might apply what you have learned in this exercise—particularly about yourselves and suspending judgment—to your participation in the group's work?*

HANDOUT 1

Clarifying Values: The Promotion

CASE HISTORY SHEET*

Carol was a bright, ambitious woman who held an M.B.A. and until recently had set her sights on a managerial career with Benton Electronics, Inc. She was eager to climb the ladder of success and was willing to work very hard for her promotions. Carol realized that she worked in a highly competitive organization and that she was in a field traditionally dominated by men. Furthermore, she had observed that many men and women never progressed beyond certain rungs of the corporate ladder and that only one woman in the company had entered into top management. Carol knew from the outset that many tests of her ability and loyalty were to come, but she was eager to meet them.

One obstacle to Carol's career at Benton was her exclusion from some informal networks within the organization. Another problem was that although many men seemed to have special sponsors or mentors who "taught them the ropes" and provided them with inside information, she had no such affiliation. However, because she was determined, she attended every seminar she could and lunched regularly with her peers, most of whom were men. Over time she came to trust a coworker named *Pat*; the two shared confidences frequently and provided valuable feedback to each other regarding work-related matters. Carol valued Pat as a trusted colleague and a friend.

Bob, Carol's supervisor, also had his sights set on top management. He was in the upper echelon of middle management and had made many friends and a few enemies in the company. At the time of the incidents in question, he was in his mid-forties and had been reexamining his goals and values because of a personal crisis: His wife was suing him for divorce, claiming he had neglected her and their children in his "workaholic pursuit of career." Lonely, confused, and in need of comfort, Bob began seeking a confidant, someone who would be supportive and patient and provide a listening ear. Eventually he gravitated toward Carol to fill this role. Only a year before, though, he had felt ambivalent about hiring Carol, assuming that sooner or later she would marry, become pregnant, and resign.

While Bob was in his state of depression, he alternately threw himself relentlessly into his work (at which time Carol's loyalty was evident in her overtime efforts) or dawdled away his time preoccupied with personal problems and the search for "some values of substance" (at which time Carol and Pat tended to cover for him). On one occasion when Bob returned from lunch less than sober, Carol volunteered to attend a meeting in his place.

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* Reproduced from "The Promotion: Value Clarification," by Janet Mills Bentz, in *A Handbook of Structured Experiences for Human Relations Training, v. 9*, ed. J. William Pfeiffer (San Diego), pp. 156–158, with the permission of University Associates, Inc. A previous version was published in *Developments in Business Simulation and Experiential Exercises, v. 8* (the proceedings of the 8th Annual Conference of the Association for Business Simulation and Experiential Learning, or ABSEL), ed. William D. Biggs and David J. Fritzsche, pp.1–3; copyright © 1980, ABSEL.

John, one of the company's several vice presidents, took an immediate interest in Carol when he met her at the meeting she attended in place of Bob. He saw her as both a capable middle manager and a lovely woman. Their acquaintance grew, and Carol gained a great deal of informal knowledge about the company from John's casual conversations. She learned, among other things, that Bob had "locked horns" with John on an issue some years ago and that subsequently the two had been, for all practical purposes, unfriendly. She also learned that Bob's unsteady performance was under close scrutiny and that his transfer to a parallel position in a regional office was imminent. John's advances toward Carol continued and became romantic. Although she was not involved with another man and she would have preferred to keep her relationship with John a business one, she yielded to her own sexual needs and John's steady pursuit. They became lovers.

Eventually Carol confided in Pat, describing both the romance and the wealth of informal knowledge she was gaining. She was not prepared for Pat's abrupt response: "I don't know what to say. Frankly, I wish it were me." Carol was taken aback and began feeling very uneasy around Pat. Consequently, a distance grew between them.

Within a week of Carol's conversation with Pat, Bob called Carol into his office and confronted her with the rumor he had heard that she was sleeping with a least one of the company's vice presidents. He asked her to verify the rumor or deny it. Under pressure, Carol took the stance that her private life was her own. Bob said that he interpreted her comment to be an admission of guilt and fired her with one month's notice. Her appeal to his sense of fairness was of no avail; he replied that her involvement was a serious breach of loyalty that damaged her credibility irreparably.

Stunned, Carol sought the support of John, who said he was helpless to do anything on her behalf under the circumstances. Nonetheless, he promised continuing emotional support and said he hoped that the situation would not interfere with their relationship. Her former friend and confidant, Pat, suggested that she leave the company quietly and not create a public stir through Affirmative Action. Her lawyer, although willing to take the case, advised her similarly, "The best time to find a job is while you have one."

Carol's alternatives seemed bleak indeed when *Joe*, director of another division in the company, heard about the incident and called her to his office. Joe began by briefing Carol on his understanding of recent events, indicting that he was aware of her good work and that he felt her dismissal was unreasonable. He reported that Bob's transfer was now fact, that Pat had been appointed as his replacement, and that Carol had been among those considered for the position before her dismissal. Joe shook his head sadly and said that he had been an advocate of "free sex" for years. He than told Carol that he was willing to create a position for her in his office in light of her record and that this position would be equivalent in rank to the one she had just lost. He also suggested that a couple of years of experience in his division would greatly enhance her career.

Carol left Joe's office with mixed feelings; she felt a rapport with Joe and sensed that they would get along, but she was not sure that she trusted his warmth and generosity. She wondered whether there was an innuendo in his offer, whether she was being placated by the organization in some way, whether she could discern the real situation, and whether any of these thing even mattered.

RANK ORDERING

Rank order the following characters from 1 (least objectionable) to 5 (most objectionable):

___ Carol

___ Pat

___ Bob

___ John

___ Joe

UNDERSTANDING SELF AND OTHERS 3

Using the Myers–Briggs Type Indicator To Promote Teamwork

Note ***This exercise should only be conducted by a certified MBTI trainer. Your Regional Representative at the Bureau of Labor–Management Relations is a certified MBTI trainer and can also provide information on finding a certified MBTI trainer in your area.***

Description In an abbreviated format[*], participants learn a conceptual model for understanding how they prefer to gather information and make decisions. After learning the purpose of the Myers–Briggs Type Indicator (MBTI)[†], participants read or role play the four preferences, predict their preferences, review their profiles, and learn about the characteristics measured. They develop a group profile and discuss how the data and profiles will help the group make the most of each member's strengths. Finally, they learn about temperament theory, another tool for understanding their preferences.

Performance objectives

To describe MBTI theory and temperament theory,

To describe personal preferences and temperament,

To recognize the strengths of other group members and their potential contributions to achieving group goals, and

To profile the group and discuss the implications of that profile for group problem solving.

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[*] Because the Myers–Briggs personality preferences theory is so rich and has many applications, some workshops on the MBTI are designed to cover several days. This abbreviated, 3-hour format uses standard introductory materials, features the group profile, and concludes with an introduction to temperament theory and its application.

[†] Isabel Briggs Myers and Katherine C. Briggs. Palo Alto, Calif.: Consulting Psychologists Press, Inc., 1988. The MBTI is one example of an instrument (one of the more commonly used and extensively validated ones) that can provide group members with a common language for describing, understanding, accepting, and integrating members' different styles or approaches to a situation. A list of other possible instruments is provided as Trainer's Resource 1, p. 31. This exercise provides a suggested model for working with participants to apply the information gained from such an instrument in making their group more effective.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
155–165 minutes total[*]	About this exercise	The following pages outline one possible approach a certified trainer might use to compress MBTI training into a 3-hour session. They should also give an uncertified trainer a feel for the scope and value of such a session.
	Test instruments, scripts, and handouts	The instruments, answer sheets, and report forms that are the basis for this exercise can be provided by a certified MBTI trainer. Alternative instruments are suggested in Trainer's Resource 1 (page 31). The trainer using this outline will find helpful several of the scripts contained in *Using the Myers–Briggs Type Indicator in Organizations: A Resource Book*[†]. Finally, for each participant, provide a copy of ☐ Dialogues on the Four Sets of Preferences (Handout 1, pages 35–45) ☐ *Introduction to Type*[‡] ☐ The Temperaments (Handout 2, pages 47–50) ☐ Temperaments in the World of Work (Handout 3, pages 51–55)
	Administering the MBTI	Administer and score the MBTI before this session begins. If the workshop is to last 2 or more days, you might administer the MBTI in a brief (30-minute) session early in the workshop so that you can provide uniform instructions and answer participant questions. Bring participants' completed MBTI Report Forms to this session.
	Confidentiality	Reassure participants that their MBTI results are confidential feedback for each individual to reveal to others or not, as he or she chooses. The trainer will reveal no individual results, nor is it likely that individual results can be discerned from the group profile.

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[*] Depending on which option is used for the "Four preferences" section of the exercise.

[†] Hirsh, Sandra K. Palo Alto, Calif.: Consulting Psychologists Press, Inc., 1985.

[‡] Myers, Isabel B. Palo Alto, Calif.: Consulting Psychologists Press, Inc., 1980.

25 minutes

Why use the MBTI?

☛ Introduce the exercise by outlining the reasons for using the MBTI, which are provided on page 10 of *Using the Myers–Briggs Type Indicator in Organizations: A Resource Book.*

Some theory

☛ Present the "History and Uses of the MBTI" script beginning on page 13 of the *Resource Book*.

"Handedness" exercise

☛ Before discussing the model of the four preferences, you may wish to provide an analogy for the concept of "preference" by doing the following brief exercise:

Ask for a volunteer to write his or her name on the flipchart. Ask the others to observe the volunteer closely.

Ask the observers to describe the differences they observed between the writing of the first signature and the writing of the second. They should note that the second signature required more effort, more concentration, and was done more slowly.

Point out that preferred "handedness" is analogous to the preferred behaviors participants will now be learning about.

The four preferences

☛ Present the script, "Jung's Theory—Model of the Four Preferences," from the *Resource Book*.

Present the four preferences using one of the options below. Option 1 requires participants to read the material silently. Option 2 allows the "role play" of the material.

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15 minutes — Predicting the four preferences: Option 1

☛ Read the script, "Prediction of the Four Preferences," on pages 19–21 of the *Resource Book*.

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25 minutes — Predicting the four preferences: Option 2

☛ Role play each of the preferences as follows:

Tell the group that they will be hearing "readings" of characteristics for four pairs of personality preferences. Tell them to listen carefully to the readings and, at the completion of each set, to jot down what they think their own personality preference is.

Ask for two volunteers. Designate one the "extravert" and the other the "introvert."

Give each volunteer a copy of Handout 1, Dialogues on the Four Sets of Preferences, and ask them to alternate reading their respective statements under "Extraversion/Introversion."

Ask two other volunteers to alternate reading the statements under "Sensing/Intuition," two others to read the statements under "Thinking/Feeling," and two others to read the statements under "Judging/Perceiving."

After each reading, remind participants to write down their personal preferences.

When the readings are complete, distribute a copy of the dialogues to each participant for reference.

10 minutes	**Scores on the MBTI**	☛ Before distributing participants' MBTI Report Forms, reassure them of the confidentiality of the results as follows.
	Confidentiality	☛ Explain to participants that the report forms you are about to distribute are feedback for the individual and that you will not be revealing any individual results to the group. Some of them may choose not to reveal their results to others. If anyone wishes to know another's results, he or she should ask that person directly. Though the group will be working with a group profile compiled from individual results, it would be difficult for anyone to discern any given individual's results from that group profile.
	Explanation of results	☛ Distribute participants' report forms. Explain the report form, what the numbers mean, and what close scores indicate. (Refer to the script, "Points and Scores," on pages 22–23 of the *Resource Book*.) Refer participants to the descriptions on the back of the report form. Ask participants how many succeeded in predicting all of their own preferences. Then ask how many were surprised by one or more of their reported preferences.

20 minutes	**Introduction to type**	☛ Distribute a copy of *Introduction to Type* to each participant. Ask participants to locate and read the data on their types on pages 10–25. Suggest that they underline any particularly accurate information.
	Dynamics of type	☛ Review the material on type using the script, "Dynamics of Type," on pages 25–27 of the *Resource Book*. Note the helpful table of types, "Priorities and Direction of Functions in Each Type," on page 9 of *Introduction to Type*.
25 minutes	**Group profile**	✏ Draw a type table on a flipchart, and fill in the group's information. (See Trainer's Resource 2 on page 33 for a sample.) Explain how the group profile is developed. Ask participants to refer again to *Introduction to Type* to locate and read the information on their group type.
	Discussion of group profile	☛ Lead a discussion on the group profile, asking questions such as the following: *What are our strengths as a group?* *What are our deficiencies as reflected in the group profile?* *What problems might we encounter in our problem-solving activities?* *What strategies could help us employ our strengths and overcome our deficiencies in becoming a high-performance group?*

20 minutes	**Temperament theory**	☛ Introduce temperament theory, using either *Please Understand Me: Character and Temperament Types*[*] or *It Takes All Types!*[†] Distribute Handouts 2 and 3 on The Temperaments and review the material with the group. Form temperament groups of • SJs • SPs • NFs • NTs
20 minutes	Recognizing strengths and liabilities	☛ Ask the temperament groups to spend 20 minutes identifying the potential strengths and weaknesses that their temperaments will bring to the total group's efforts to get the job done.
10 minutes	Report out	☛ Ask each group to share its list of potential strengths and weaknesses.
10 minutes	Using temperament theory to improve group work	☛ Involve the total group in a discussion of strategies that would permit it to make the most of the strengths that each temperament brings to the group's ability to achieve its goals.

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[*] Kiersey, David W., and Bates, M., Del Mar, Calif.: Prometheus Nemesis Books, 1978.

[†] Brownsword, Alan W., San Anselmo, Calif.: HRM Publications, 1987.

TRAINER'S RESOURCE 1

Using a Test Instrument To Promote Teamwork

ALTERNATIVE INSTRUMENTS

The Myers–Briggs Type Indicator and the Inquiry Mode Questionnaire are two examples of instruments that—by providing group members with a better understanding of themselves, other group members, and the group itself—have helped groups work more effectively.

Other instruments which can also be used to improve both self understanding and individuals' understanding of others are listed below.

Herrmann Brain Dominance Instrument. Herrmann, Ned. Lake Lure, N.C.: Applied Creative Services, Ltd. (ACS), 1981.

FIRO-B. Schutz, Will. Palo Alto, Calif.: Consulting Psychologists Press, Inc., 1984.

LIFO Survey. Atkins, Stuart, and Katcher, Allen. Beverly Hills, Calif.: Stuart Atkins, Inc., 1973, 1978.

Life Styles Inventory (LFI 1). Lafferty, J.C. Plymouth, Mich.: Human Synergistics, Inc., 1971, 1971, 1987, 1989.

Personal Profile System. Geier, John G. USA: Performax Systems International, Inc., 1977.

Personal Style Inventory (PSI). Bryn Mawr, Pa.: Organizational Design and Development, Inc., 1979.

Personalysis. Noland, James R. Houston: Management Technologies, Inc., 1981.

Stylemetrics Personal Style Inventory. Burgee, Robert C., and Burgee, Nancy G. Estacada, Ore.: Burgee Associates, 1981.

Social Styles. Wilson, Larry. San Diego: University Associates, Inc., 1988.

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TRAINER'S RESOURCE 2

Using the Myers–Briggs Type Indicator To Promote Teamwork

SAMPLE TYPE TABLE AND GROUP PROFILE

ISTJ Male / Female // **Total** ③	**ISFJ** Male Female / **Total** ①	**INFJ** Male / Female **Total** ①	**INTJ** Male Female // **Total** ②
ISTP Male Female **Total**	**ISFP** Male Female / **Total** ①	**INFP** Male Female / **Total** ①	**INTP** Male Female **Total**
ESTP Male Female / **Total** ①	**ESFP** Male Female /// **Total** ③	**ENFP** Male Female // **Total** ②	**ENTP** Male Female /// **Total** ③
ESTJ Male / Female // **Total** ③	**ESFJ** Male Female / **Total** ①	**ENFJ** Male Female **Total**	**ENTJ** Male / Female // **Total** ③

Tally preferences

E = 16
S = 13
T = 15
J = 14

I = 9
N = 12
F = 10
P = 11

Tally temperaments

SJ = 8
SP = 5
NF = 4
NT = 8

Group profile E S T J

HANDOUT 1

Using the Myers–Briggs Type Indicator To Promote Teamwork

DIALOGUES ON THE FOUR SETS OF PREFERENCES*

1. EXTRAVERSION/INTROVERSION

Extravert: I get a lot of energy from being with others.

Introvert: I am drained when I spend a lot of time with others, particularly when I'm with strangers.

Extravert: I get bored and restless if I spend a lot of time alone.

Introvert: I need time alone to recharge my batteries—to restore my energy.

Extravert: I figure things out best when I can talk things over with others.

Introvert: I need time alone to figure things out, to get in touch with my inner world.

Extravert: I turn to others when I need affirmation, confirmation, or verification.

Introvert: I turn inward when I need affirmation, confirmation, or verification.

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* Reproduced from *It Takes All Types!* by Alan W. Brownsword (San Anselmo, Calif., 1987), pp. 6–8, 11–12, 17–19, and 22–24, with the permission of HRM Publications.

1. EXTRAVERSION/INTROVERSION (continued)

Extravert: I am good at meeting people.

Introvert: I have to exert an effort to meet people, and I may avoid or postpone doing so.

Extravert: I have good verbal skills and am good at making conversation.

Introvert: I often find the give-and-take of free-flowing conversation somewhat difficult to keep up with, and I have trouble thinking of the right thing to say on the spur of the moment.

Extravert: I speak up at meetings easily and often.

Introvert: I often hold back at meetings, then have trouble getting into the discussion.

Extravert: I am likely to speak first, think later—and suffer from "foot-in-mouth" problems!

Introvert: I am likely to think afterwards of the thing to say—I suffer from the "why didn't I think to say . . ." syndrome!

Extravert: I dislike or avoid writing.

Introvert: I have good writing skills and often actually prefer presenting my ideas in writing.

1. EXTRAVERSION/INTROVERSION (continued)

Extravert: I tend to be very aware of who or what is around me.

Introvert: I am often not very observant of what's going on in the world around me.

Extravert: I don't usually pay much attention to what's going on inside me.

Introvert: I am introspective—I'm generally very aware of my inner reactions.

Extravert: I am generally easy to get to know. I show the world what I really am—I don't surprise people with "hidden sides" of my personality.

Introvert: I am generally difficult to get to know. I don't very often show the world what I really am—I have important "hidden sides" of my personality and can surprise people who think they know me well!

[redacted]

2. SENSING/INTUITION

[redacted]

Sensing:	I'm good at seeing "what is." What could be more important than that?
Intuition:	I like looking at "what could be"—what's the use of "what is" without "what could be!"
Sensing:	I'm quick to grasp the details of a situation.
Intuition:	I'm quick to see the big picture.
Sensing:	I must admit that sometimes I have trouble seeing the big picture.
Intuition:	I'll own up to the fact that I am often tripped up by details that I haven't noticed.

[redacted]

Sensing:	I'm realistic and practical. I've got my feet on the ground.
Intuition:	I'm imaginative. I like the view from the clouds.
Sensing:	No way. I prefer reality to fantasy any day.
Intuition:	I'm just the other way around—I prefer fantasy to reality.

[redacted]

Sensing:	I tend to be specific and literal when I speak, write or listen.
Intuition:	I tend to be general and abstract when I speak, write or listen.
Sensing:	I like to describe the facts first, and then I may—or may not!—state the general point.
Intuition:	I make the general point, and then I may—or may not!—bother to describe the facts.

[redacted]

2. SENSING/INTUITION (continued)

Sensing: I am good at seeing solutions to practical, concrete problems.

Intuition: That's not my thing. I admit I'm likely to be impatient with or ignore those kinds of problems.

Sensing: On the other hand, I'll confess, I sometimes have trouble coming up with solutions to complicated, theoretical or abstract problems —I have no patience with them, if the truth be told.

Intuition: Not me. I love to deal with those kinds of problems—the more imaginative, the better.

Sensing: I don't even like complicated theory—it makes my head swim.

Intuition: That's my world. I'm at home with theory and abstraction.

Sensing: I like to identify and work with the specifics necessary to successfully carry out an assignment.

Intuition: I wish I could do that. Most of the time I don't even want to think about those things.

Sensing: When I try to do what you are good at, I often draw blanks, feel awkward or focus on "doom and gloom" stuff.

Intuition: Well, when I try to do what you are good at, I get frustrated and impatient, miss a lot of obvious things you see, or I run off endlessly about specifics, not knowing what's important and what isn't.

3. THINKING/FEELING

Thinking: Whenever I make a decision, I look for principles to guide me. The kind of principles I seek are basic truths, laws, or assumptions that are generally accepted or proven. When I make a decision, I want to know what's "right" in a situation like this.

Feeling: I look at a decision quite differently. I look at the specific situation or decision and then sort out the values that are involved—my own personal values and the values of the people or institutions that matter to me. Then I apply those values and see where they lead me.

Thinking: When I make a decision, I use my principles—and being logical is one of my most important principles—to link things together. That's why my decisions have an "if . . ., then" quality to them.

Feeling: My decisions link things together according to their value—either to me or to others or to the institutions of which I am a part. That's why my decisions have an "I value . . . , it matters" quality to them.

Thinking: When I make a decision, I focus on the content, on the "what" that is involved. I do my best to depersonalize everything.

Feeling: I think it's important to take personal considerations into account when making decisions.

Thinking: I try to screen out of my decisions my own emotions and the emotions of others. Decisions based on emotions seem wrong to me.

Feeling: I find it difficult to focus exclusively on the content of a decision, as you call it. People's emotions are part of the content of a good decision.

Thinking: Not to me. I am uncomfortable with decisions that involve my own emotions and those of others—I will even avoid discussing these kinds of things.

Feeling: And I'm uncomfortable with decisions that require ignoring my own emotions and those of others. I am good at bringing these issues into a decision-making process in useful ways.

3. THINKING/FEELING (continued)

Thinking:	I am analytically oriented in my decisions. I like analyzing things impersonally. I listen carefully to people's thoughts and am quick to see either the usefulness of an idea or its weakness, and I like being able to share my judgments on what other people say. I am told that I often do not pay sufficient attention to people when I make decisions, but if logic tells me this or that is the way to go, shouldn't people just see and accept that?
Feeling:	Not always. People are important, too. I believe in being people-oriented when I make decisions. I like listening to what other people care about. I reflect on how their values fit with my own. And I like it when my decisions can support and bring out the best in people. Sometimes I'm told that it's necessary to leave people considerations out of my decision making, but that's difficult for me to do.
Thinking:	I am often told that my decisions and the way I express them hurt people—often I am not even aware of that until someone points it out to me.
Feeling:	It's natural to me to have my decisions and the way I express them reflect a sensitivity to people.
Thinking:	When decisions call for it, I can reprimand or fire people.
Feeling:	That is not one of my strengths. I even have difficulty telling people anything unpleasant.

3. THINKING/FEELING (continued)

Thinking: In decisions that affect me, I need to know that I have been treated fairly. I can accept a lot so long as I know that.

Feeling: In decisions that affect me, I need to know that I am appreciated. I need and want praise. When I know that I am appreciated, I do my best work. As a student, I do my best for teachers who like me.

Thinking: I am not always aware that my decisions can create conflict. Sometimes when I am aware, I don't care very much. I can get along without a lot of harmony.

Feeling: I am always concerned when decisions involve conflict. I like harmony, and I know how to surface and resolve conflict. I am often negatively affected in conflict situations.

Thinking: I am good at exploring the logical, impersonal consequences of actions or decisions.

Feeling: I am good at assessing the human impact of actions or decisions.

Thinking: When I try to do what you are good at, I have an uneasy feeling that I am making a biased decision, and that seems all wrong to me—it won't stand up in court! So when I sense those kinds of decisions popping up in my head, I generally try to ignore them.

Feeling: And when I try to do what you are good at, I feel as if somehow I am leaving out the things that really matter. Sometimes those decisions remind me of the auto safety commercials: "He had the right of way. He was right. Dead right." So I tend to ignore those kinds of decisions even when I'm aware that I have them.

4. JUDGING/PERCEIVING

Judging: I like to get things settled and finished.

Perceiving: I like staying flexible so I can change things when new information comes up.

Judging: I have been told I decide things too quickly.

Perceiving: I've been told that I have trouble making decisions.

Judging: Sometimes I think I cling too long to a list or a plan.

Perceiving: And I am not likely to make or follow lists, even when the situation calls for it.

Judging: I often dislike having to put down something I'd planned to do to work on something more urgent that has just come up.

Perceiving: I have a tendency to start too many projects and I sometimes have difficulty finishing them because I am so fascinated by something that has just come up.

Judging: I can be so intent on what I've planned to do that I don't want to pay attention to new information.

Perceiving: I sometimes use the excuse of needing to work on new things to postpone unpleasant tasks.

4. JUDGING/PERCEIVING (continued)

Judging: I want to get right to the point.

Perceiving: I want all the available data.

Judging: I like it when I have reached a judgment on a thing, situation or person. I want to move on and not have to keep continually reconsidering things.

Perceiving: I'm always curious to get more information about things, situations or persons. I want to be flexible. I don't want to have to close things off by making a decision.

Judging: I am time and deadline oriented.

Perceiving: I almost always think there is plenty of time.

Judging: I feel time pressure early.

Perceiving: I feel time pressure late.

4. JUDGING/PERCEIVING (continued)

Judging: I work best when I can plan my work and follow my plan. I know when things need to be organized and settled. I know how to make lists, and I like making them and crossing things off.

Perceiving: I'm not into that. I want to be able to adapt to what comes up. I get my energy from new situations, and I am good at responding to them.

Judging: That doesn't fit me. I feel dislocated when things come up unexpectedly. I don't like it when I am confronted with a problem or opportunity that means I may have to choose between following my plan or doing something else. Sometimes, I'll admit, I wish I felt free to do just whatever comes up. More often than not, though, I find myself wishing the unexpected would go away!

Perceiving: And I'm just the opposite. I feel hemmed in if I have to make or follow a schedule. When I do make a list, which isn't very often, it can sit around forever because I put such vague or ambitious things on it—and I almost never follow it because I am so busy doing other things. And you know what? When I do make lists, I very often promptly lose them!

Now, it is true that when I get really overcommitted or when I have too many options I sometimes wish I could exercise more control, get more discipline in my life, and make your lists and stick to them! But I'll bet I'd soon get bored and wish something exciting would come up that I could respond to!

Judging: Can't we settle things?

Perceiving: Can't we keep our options open a little longer?

HANDOUT 2

Using the Myers–Briggs Type Indicator To Promote Teamwork

THE TEMPERAMENTS*

SJ: The Traditionalist/Stabilizer

When SJs enter a new job or situation, they want to know:

What are the rules and regulations?

What are the policies and procedures?

Who is in charge of what?

What are we responsible for?

When are things due?

By what criteria will they be judged?

When they find answers to these questions, they settle in. They accept and work within the constraints. They do their best to keep things stable and to maintain order. They expect others to do the same. They often judge harshly those who don't. They are detail oriented and excellent at following through. They contribute to stability in the organization, and they can be counted on to maintain its tradition. Constant change, lack of clear and explicit direction, and failure to follow established policies and procedures is disorienting and frustrating.

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* Reproduced from *Psychological Type: An Introduction*, by Alan W. Brownsword (San Anselmo, Calif., 1988), pp. 43–45, with the permission of HRM Publications.

SP: The Troubleshooter/Negotiator

When SPs enter a new job or situation, they want to know:

Where's the action?

What's going on?

Where are the trouble spots that need to be cleaned up?

What needs to be fixed?

How can I get into the thick of things?

SPs need answers to these questions that suggest excitement, a fast pace, and things that need to be done now. SPs are most valuable when there are crises that need to be attended to. In fact, they look for and are attracted to crises. They are most effective at plunging in and fixing things. As problem solvers—as fixers—their natural style is active experimentation. Try something. If it works do it. If it doesn't, do something else. As managers, they may consider their staffs as flexible resources to be deployed at a moment's notice to deal with the crises of the moment. They are not interested in routine, and they can become bored or impatient with things that are conceptual, theoretical or that involve long-range planning.

NT: The Visionary

When NTs enter a new job or situation, they want to know:

Where are the opportunities for change and growth?

What are the new directions, the new developments over the horizon?

What do we need to do to plan for tomorrow?

What are the challenges to excite the imagination?

NTs need positive answers to these questions, for they are the architects of change. They are creators and builders—of businesses, buildings, systems, products, or theories. Their energy is most likely to be turned on if they find that the job involves being creative, developing and implementing new things to do. Maintaining the status quo is not for them. That's demotivating. They want to think big, to conceptualize complex projects. The status quo holds little interest for them, and constant crises that cannot be dealt with by rational planning are frustrating.

NF: The Catalyst

When NFs enter a new job or situation, they want to know:

What does this organization stand for?

What are its key values?

Are people issues being attended to?

What is the state of morale around here?

Is this place making the most of its human potential?

What needs to be done to release and harness human energy?

These are important questions for NFs, for their natural focus, their strongest talents, lie in the human equation. They know how to bring the best out in people. They push the organization to articulate what it stands for—with an emphasis on core values. They can see the people issues that are often hidden behind discussions of content. They think naturally about the impact of decisions on people. They know how to persuade, how to conciliate, how to resolve conflict, how to establish and maintain harmony. They can place so much emphasis on personal issues that task or mission accomplishment sometimes takes an inappropriate second place.

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HANDOUT 3

Using the Myers–Briggs Type Indicator To Promote Teamwork

TEMPERAMENTS IN THE WORLD OF WORK*

The table on the following pages displays 10 characteristics of the four temperaments.

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* Reproduced from *Psychological Type: An Introduction*, by Alan W. Brownsword (San Anselmo, Calif., 1988), pp. 44–45, with the permission of HRM Publications.

TEMPERAMENTS IN THE WORLD OF WORK

This type	**Visionary (NT)**	**Catalyst (NF)**
looks at the world and sees	Possibilities, meanings, and relationships . . .	Possibilities, meanings, and relationships . . .
and wants to	Examine the consequences analytically and impersonally.	Judge their value to people and for people.
They have a lifelong drive for	Competence and knowledge . . .	Meaning, authenticity, and identity . . .
and thus they are effective	As architects of change, as organizational entrepreneurs.	In getting people to work effectively together to achieve organizational goals.
Their strengths include:	Looking ahead, seeking new possibilities; Conceptualizing, designing—especially regarding organizational change; Setting standards, particularly intellectually; Seeing right to the heart of complex issues or problems; Seeing the large picture, the larger content; Grasping underlying principles, dynamics, laws; and Meeting the challenge when someone says, "It can't be done."	Drawing out the best in people; Working with and through people—participative leadership; Good verbal and listening skills; Being sensitive to the organizational climate; Expressing empathy; Being creative; Getting people to work effectively and harmoniously together; and Learning new things, particularly about self and others.

This type	**Troubleshooter/Negotiator (SP)**	**Traditionalist/Stabilizer (SJ)**
looks at the world and sees	Facts and realities . . .	Facts and realities . . .
and wants to	Collect more, manipulate them.	Organize them.
They have a lifelong drive for	Action, excitement, competition . . .	Contributing to meaningful social institutions . . .
and thus they are effective	In crisis situations, in putting out "fires," in producing results.	As stabilizers of organizations and in maintaining tradition.
Their strengths include:	Handling crisis situations; Seeing what's negotiable; Being ingenious and resourceful in getting things done; Knowing how to expedite things; Being honest, straightforward, "telling it like it is"; Having a practical approach to concrete problems; Being adaptable, flexible; and Taking risks.	Being realistic and practical; Being decisive; Paying attention to rules, policies, and regulations; Bringing a planned, organized approach to work; Being dependable, steady workers, good at following through; and Being thorough, systematic, and precise, especially with details.

TEMPERAMENTS IN THE WORLD OF WORK (continued)

Type	**Visionary (NT)**	**Catalyst (NP)**
Their potential weaknesses include:	Not easily showing sensitivity and appreciation to others; Not following through on details, getting bored with routine; Losing people with their fascination with complexity; Being elitist; Being impatient with those whom they don't see as competent.	Being too generous, too giving of time and self to others; Deciding on the basis of personal likes and dislikes; Giving too much autonomy and freedom; Being too easily hurt—personalizing criticism; Placing too much focus on people, not enough on organizational goals; Having trouble being tough, especially when it might mean hurting people.
Their contributions to a work team include:	Tracking thought processes; Solving problems; Providing theoretical input; and Spreading enthusiasm for ideas.	Adding the personal dimension; Selling the organization or cause they believe in; and Bringing out the contributions of others.
They like to be appreciated for	The quality of their ideas and their intellectual competence.	Themselves as people who make important contributions.
They provide	Idea charisma.	People charisma.
Their motto might be:	*Some see things as they are and say, "Why?"* *I dream things that never were and say, "Why not?"* —Robert F. Kennedy	*This above all: To thine own self be true. And it must follow, as night the day: Thou canst not then be false to anyone.* —William Shakespeare, *Hamlet*

Type	**Troubleshooter/Negotiator (SP)**	**Traditionalist/Stabilizer (SJ)**
Their potential weaknesses include:	Disliking or being impatient with the theoretical, the abstract, the conceptual; Being unpredictable; Becoming bored when there are no crises to handle; Creating crises to handle; Failing to produce written documents; Not taking a stand, seeming indecisive; and Being impulsive—not looking before leaping.	Not always being responsive to the need for change; Adhering too firmly to rules and being reluctant to make exceptions; Deciding things too quickly; Being impatient with delays and complications; and Having an excessive concern for crises that might never occur.
Their contributions in a work team include:	Making thing happen; Spotting practical problems; and Negotiating agreements or plans of action.	Focusing on what needs to be done; Focusing on follow through; and Focusing on important details.
They like to be appreciated for	The clever way they make things happen or get things done.	Their careful, thorough, accurate work.
They provide	Crisis charisma.	Relief from charisma!
Their motto might be:	*Damn the torpedoes.* *Full speed ahead.* —David Farragut Battle of Mobile Bay, 1863	*Neither rain nor snow nor sleet nor dark of night shall stay the courier from the swift completion of her appointed rounds.* —Post Office motto

UNDERSTANDING SELF AND OTHERS 4

Using the Inquiry Mode Questionnaire To Promote Teamwork

Description Participants use the Inquiry Mode Questionnaire (InQ)* to discover their preferred thinking styles and those of other members of their group. They learn to recognize the five basic thinking styles and the strengths of each. They develop a group profile and discuss the group's strengths and deficiencies.

No certification is required to conduct this exercise.

Performance objectives To describe personal thinking style and to recognize its strengths and deficiencies,

To learn about the thinking styles of other group members, including their strengths and potential contributions to reaching group goals, and

To examine the strengths and deficiencies of the group, based on the group's profile.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
145–170† minutes total	Test instrument	See note below* and Trainer's Resource 1 (page 31).
	Materials	For each participant: ☐ Inquiry Mode Questionnaire (InQ), including a "Styles of Thinking" insert with a grid for graphing individual scores and at-a-glance summaries of each style ☐ *InQ Styles of Thinking Workbook*‡ ☐ a marker of a different color
	Flipcharts	The trainer may wish to prepare the suggested flipcharts, indicated by the ✏ symbol, before the workshop session.

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* Harrison, Allen F., and Bramson, Robert M. Inquiry Mode Questionnaire (InQ).Oakland, Calif.: InQ Educational Materials, Inc., 1977, 1980, 1988. The InQ is one example of an instrument that can provide group members with a common language for describing, understanding, accepting, and integrating members' different styles or approaches to a situation. A list of other possible instruments is provided as Trainer's Resource 1, p. 31. This exercise provides a suggested model for working with participants to apply the information gained from such an instrument in making their group more effective.

† Depending on the use of optional exercises on page 63 on recognizing thinking styles.

‡ Bramson Parlette, Harrison and Associates. Oakland, Calif.: InQ Educational Materials, Inc., 1986.

5 minutes

What the Inquiry Mode Questionnaire measures

☛ Tell participants that they will be completing a questionnaire—the Inquiry Mode Questionnaire, or InQ—that is designed to identify the thinking style or styles that each of them prefers.

Reassure them that the InQ does not measure personality or intelligence, nor are there any right or wrong answers. Thinking style is the approach a person chooses to take to a problem-solving situation. Illustrate with an example, such as the different styles people use in addressing the problem of selecting a car:

Example of different thinking styles

❝ Buyer #1 enjoys arguing and making the salesperson's life miserable. The car can seem almost secondary.

Buyer #2 wants to know if the car is safe, of high quality, and durable enough to last a lifetime.

Buyer #3 has no tolerance for salespeople. He wants to buy the car and get on with his life.

Buyer #4 researches *Consumer Reports*, *Car and Driver*, and *Road and Track* and knows exactly what she wants and what it should cost.

Buyer #5 has a physical, even sensual, interest in the new car and will run his hands over the paint, interior, and steering wheel. The car has to have the "right" look, smell, and feel.

Each prospective buyer, though faced with the same decision, has an entirely different way of thinking about it.

Why examine thinking style?

☛ Explain that understanding thinking style can help a group member evaluate his or her contribution and potential within the group.

Understanding the thinking styles of other group members and of the group as a whole can help the group make more effective use of *all* of its members in meeting group goals. A variety of styles helps to ensure thorough understanding and a wide range of options in dealing with problems.

---

30 minutes **Taking the InQ**

☛ Distribute the InQ questionnaires, and review the instructions on the front with participants.

Instructions

☛ Emphasize that participants are to rank statement endings on a scale of 1 to 5, placing a "1" in front of the ending that is *least* like them and a "5" in front of the ending that is *most* like them.

Also emphasize that they must rank *all* endings; that is, they must put a "1," "2," "3," "4," or "5" in front of each one. Tell them to order their preferences as accurately as they can, even if they find they do not have a decided preference for one option over another. Remind them that there are no right or wrong answers.

Ask that, as they complete each page, they tear out the question portion to make their final scoring easier.

Completing the questionnaire

☛ Tell participants that they will have about 25 minutes for completing the questionnaire, and ask them to begin.

---

10 minutes **Scoring the questionnaire**

☛ When participants have completed their questionnaires, make sure that they have torn out pages 2–4.

Ask them to total their scores on the last page. Have them check to see that the total S + I + P + A + R = 270.

If the total is off by more than a few points, check the questionnaire for arithmetic errors.

Styles-of-thinking profile

☛ Ask participants to find the blank InQ profile (the grid) in their "Styles of Thinking" insert and to develop their profiles as follows:

“1. Enter your SIPAR scores in the appropriate boxes at the bottom of the profile.
2. Place a dot on each vertical SIPAR line corresponding to your score on that letter.
3. Connect the dots with straight lines, forming a graph of your scores.

15 minutes

Interpreting scores

☛ Tell participants that each letter on the grid represents one of five thinking styles:

- Synthesist
- Idealist
- Pragmatist
- Analyst
- Realist

Ask them to refer to the graphs of their scores as you review guidelines for interpreting them.

✏ Describe the following interpretive guidelines, writing the bold portions on a flipchart:

“ **A score of 72 or more indicates a very strong preference for or commitment to** a particular style. The respondent is likely to use the style in virtually all situations, even where it may not be the best approach.

66 or more—a strong preference for a style. Likely to use it consistently unless it is clearly inappropriate to the problem.

60 or more—a marked preference for a style. Likely to bring it to bear on any matter for which it might be appropriate.

48 or less—a marked disinclination. Will seldom bring the style to bear on any problem.

42 or less—a strong disinclination. Will only use it when the situation cannot be thought through in any other way.

36 or less—a virtual disregard. Not likely to use it even when it might be the best under the circumstances.

Multiple preferences

“ A score of **60 or above on *more than one*** thinking style indicates a **"dual"** or **"three-way" thinker**.

A profile with **no score as high as 60** indicates **a "level" thinker**.

60 minutes	**Styles of thinking**	☛ Ask participants to refer to their individual profiles and the "Styles of Thinking" insert as you explain each of the five styles, using the following format: • Read from the style description on pages 1–5 of the *Styles of Thinking Workbook.* • Describe how a real person with the particular thinking style would handle an example problem. • Point out the strengths and liabilities of the style for that problem. • Read from the descriptors in the insert. • Ask for questions or comments on any of the descriptors. Begin with an explanation of the synthesist and follow the same format for the idealist, pragmatist, analyst, and realist in turn.
	Summary of styles	☛ Ask participants to turn to page 6 of the *Workbook* for final summaries of the five styles of thinking.
	Multiple preferences	☛ Refer dual and three-way thinkers to page 9 of the *Workbook* and review that material with them. In addition, refer dual thinkers to pages 10–12 and three-way thinkers to page 7 of the *Workbook.* Refer level thinkers to page 8 of the *Workbook* and review that material with them.

more ⇨

20 minutes **Creating a group profile**

✏ Copy a blank SIPAR profile from the "Styles of Thinking" insert onto flipchart paper large enough to be seen across the room.

☛ Ask each participant to select a unique, colored marking pen and to chart his or her scores on the flipchart profile. If there are not enough different markers, participants may use different patterns of dashes to distinguish their lines.

When all scores have been graphed, lead the group in a discussion, asking questions such as the following:

> *What are our strengths as a group?*
>
> *What are some possible deficiencies reflected in our group profile?*
>
> *What problems might we encounter in working together as a problem-solving group?*

Ask participants to take a moment to read pages 37–39 of the *Workbook* on potential compatibility problems. Follow up this reading with the question,

> *What strategies can use our strengths and overcome our deficiencies as we work to become a high-performance group?*

25 minutes (optional)

Recognizing thinking styles

☛ Emphasize that the value of the InQ lies not only in recognizing personal thinking styles but also in being able to recognize the styles of others in the group with whom one interacts.

Ask participants to read the "how to recognize" material on pages 15–20 of the *Workbook*.

Matching characteristics with styles: Exercise 1

☛ Ask participants to turn to page 21 in the *Workbook* and to complete Exercise 1 as a way of assessing their ability to recognize characteristics of each thinking style.

Answers to Exercise 1

1. idealist
2. realist
3. pragmatist
4. pragmatist
5. synthesist
6. idealist
7. analyst
8. analyst
9. realist
10. synthesist

Identifying thinking-style profiles: Exercise 2

☛ Ask participants to read Exercise 2, example 1, and to think about the answers to the questions. Ask them to volunteer their answers.

For each of the other five examples, have participants read the example, think about the answers, and volunteer their answers.

Answers to Exercise 2

1. pragmatist
2. idealist
3. realist
4. analyst
5. synthesist
6. realist/pragmatist combination

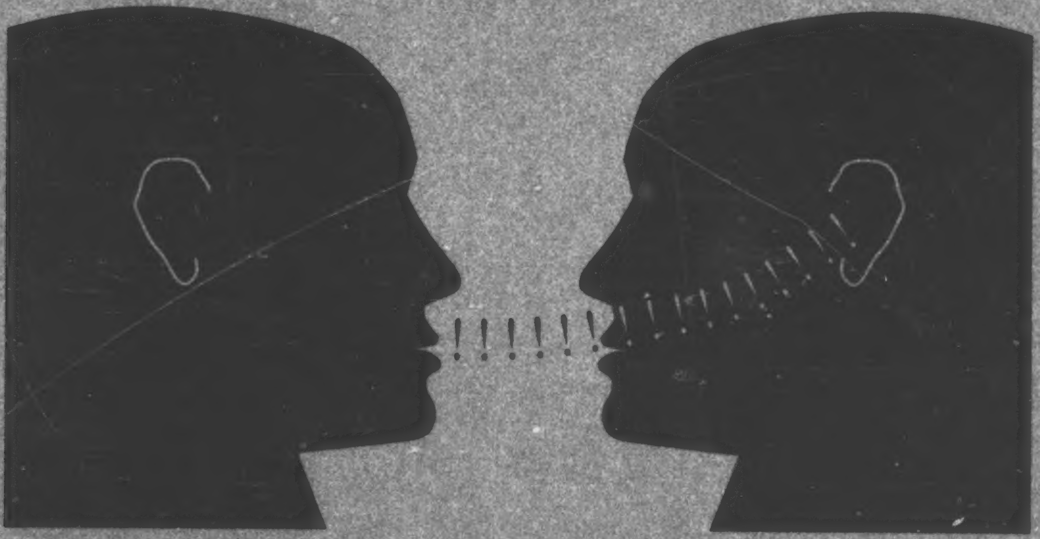
Questions

☛ Ask participants if they have any questions on the five thinking styles.

5 minutes	**Personal action plan**	☛Conclude by suggesting that each group member may wish to develop a personal action plan for augmenting his or her thinking style. Help for developing a personal action plan appears in the *Workbook* on page 26 and in the charts on pages 27–29.

Module 7

Interpersonal Skills



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INTERPERSONAL SKILLS

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Introduction

This module in the *Committee Effectiveness Training (CET)* series contains seven exercises designed to provide group members with the interpersonal skills they need to work together effectively.

Please refer to the *Guidebook for the Trainer* for general information on the *CET* series, on doing a needs assessment, and on designing a workshop.

To help you select exercises to meet the needs of workshop participants, see the sections called General Considerations for the Trainer, Recommendations for Selecting Exercises, and Exercise Summaries in the pages that follow.

GENERAL CONSIDERATIONS FOR THE TRAINER

In developing a workshop to improve the interpersonal skills group members need to work effectively together, the trainer will consider several questions:

- Which exercises from the other seven modules in the *Committee Effectiveness Training (CET)* series will also be used to meet the perceived training needs of the group?
- How much time is available to deliver a workshop? Will there be more time in the near future to deliver additional components of the *CET* series?
- Does the response to statement **7**, **15**, **23**, or **31** on the Needs Assessment Questionnaire indicate an acute need need for a particular exercise? (See the **Indicators** listed with each exercise summary.)

RECOMMENDATIONS FOR SELECTING EXERCISES

With the group's needs and contraints in mind, the trainer should also consider the following recommendations when choosing exercises:

- The first three exercises in this module focus on giving and receiving effective feedback. *Understanding Feedback: The Johari Window* provides a conceptual model for understanding the purpose and benefits of giving and receiving feedback. The exercise can help persuade group members that giving and receiving feedback is "legitimate" and useful.
- *Developing Guidelines for Giving and Receiving Feedback* will help a group lay the ground rules for effective feedback and is a prerequisite for *Practicing Feedback*.
- *Practicing Feedback* gives group members an opportunity to give one another both positive and critical feedback on past behaviors.
- Two exercises focus on listening skills, which are critical to effective group work. *How Well Do I Listen?* helps participants recognize poor listening habits. *Becoming a Better Listener* provides them with practice in applying some basic listening techniques.
- The last two exercises focus on managing conflict. *Resistance: A Role Play* teaches an approach to dealing with resistance that will help prevent conflict and gain support for ideas.
- *Conflict-Management Style* lets participants assess their individual styles for handling conflict, using the Thomas–Kilmann Conflict Mode Instrument.

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EXERCISE SUMMARIES

1 *Understanding Feedback: The Johari Window*, 75 minutes

Description	Participants are introduced to the Johari Window, a model for understanding the role of feedback in developing more open behavior. They use the model to assess their own abilities to solicit and give feedback and then discuss the forces within their group that encourage and discourage feedback.
Performance objectives	To rate personal willingness to ask for and to give feedback and To identify forces in the group that encourage and discourage feedback.
Indicator	A low score on question 7 or 15 on the Needs Assessment Questionnaire.

---

2 *Developing Guidelines for Giving and Receiving Feedback*, 60 minutes

Description	Participants are introduced to 13 criteria of effective feedback. In small groups, they select five key criteria that can serve as guidelines for improving feedback in the workplace group.
Performance objectives	To describe several effective and ineffective feedback behaviors and To adopt five guidelines that will improve giving and receiving feedback in the workplace group.
Indicator	A low score on question 7 or 15 on the Needs Assessment Questionnaire.

3 *Practicing Feedback*, 115 minutes

Description	Participants discuss characteristics of helpful feedback. In two practice sessions, they give and receive specific feedback on past behaviors—both those that have promoted and those that have impeded group effectiveness. *Prerequisite:* The exercise *Developing Guidelines on Giving and Receiving Feedback* should precede this exercise.
Performance objectives	To recognize feedback as a tool for examining perceptions about others, To receive and clarify both positive and negative feedback, and To give others effective feedback on both positive and negative behaviors in group activities.
Indicator	A low score on question 7 or 15 on the Needs Assessment Questionnaire.

4 *How Well Do I Listen?*, 75 minutes

Description	Participants learn some basic information and data about listening. They conduct a round of 5-minute interviews to permit them to observe and diagnose their own bad listening habits and a 1-minute listening session to practice a new technique.
Performance objectives	To describe the importance of listening, To recognize bad personal listening habits, and To describe several techniques that will help to reverse poor listening habits.
Indicator	A low score on question 23 on the Needs Assessment Questionnaire.

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5 *Becoming a Better Listener*, 210 minutes

Description	In an intensive session, participants engage in a series of exercises to practice seven components of CORRECT listening: concentrating, observing, responding, reflecting, eliciting, controlling interruptions, and taking advantage of lag time. *Recommendation:* The exercise *How Well Do I Listen?* should precede this exercise so that participants will have had an opportunity to identify their negative listening behaviors.
Performance objectives	To describe seven techniques for effective listening and To practice each of the techniques.
Indicator	A low score on question 23 on the Needs Assessment Questionnaire.

6 *Resistance: A Role Play*, 90 minutes

Description	Participants engage in a role play that lets them experience the effects of two different approaches to dealing with resistance. They rate the effectiveness of each approach on a simple scale and develop a list of techniques for dealing with resistance effectively.
Performance objective	To describe several effective techniques for dealing with resistance.
Indicator	A low score on question 31 on the Needs Assessment Questionnaire.

7 *Conflict-Management Style*, 60 minutes

Description	Participants use the Thomas–Kilmann Conflict Mode Instrument to determine their individual styles in handling conflict.
Performance objectives	To describe personal behavior in conflict situations and To describe several alternative approaches to managing conflict.
Indicator	A low score on question 31 on the Needs Assessment Questionnaire.

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INTERPERSONAL SKILLS 1

Understanding Feedback: The Johari Window

Description Participants are introduced to the Johari Window, a model for understanding the role of feedback in developing more open behavior. They use the model to assess their own abilities to solicit and give feedback and then discuss the forces within their group that encourage and discourage feedback.

Performance objectives To rate personal willingness to ask for and to give feedback and

To identify forces in the group that encourage and discourage feedback.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
75 minutes total	Materials	For each working group of 5–9 people, ❑ a flipchart and markers For each participant, a copy of: ❑ The Johari Window: A Graphic Model of Awareness in Interpersonal Relations (Handout 1, pages 15–16) ❑ Self-Rating Sheet (Handout 2, page 17)
	Flipcharts	The trainer may wish to prepare suggested flipcharts before the workshop session. Flipcharts are indicated by a ✏ symbol.
20 minutes	**Johari Window: Modeling awareness and openness**	☛ Give participants the following brief intoduction: “ When there are difficulties in a group, it helps to have a tool in common to assess • your personal role, so that you can decide if you need to adjust your behavior, and • the group "personality," so that you can work as a group to reduce the problem. The Johari Window is such a tool. It can graphically represent an individual's or group's awareness and openness, two characteristics that affect working relationships.

Adapted from "Analyzing and Increasing Open Behavior: The Johari Window," by Phillip Hanson, in *The 1973 Annual Handbook for Group Facilitators*, ed. John E. Jones and J. William Pfeiffer (San Diego), p. 38–42, with the permission of University Associates, Inc.

Review of article

☛ Distribute Handout 1. Ask participants to take 10 minutes to read the article.

✏ Copy figure 1 from Trainer's Resource 1 to a flipchart.

☛ When participants have finished reading, review the article with them, using the flipchart diagram and the following suggested script:

“ The Johari Window plots an individual's or group's level of awareness and openness (Trainer's Resource 1, figure 2). If a person is moderately self-aware and moderately open, his or her Johari diagram looks like the one on the flipchart.

Decreasing blind and hidden areas

“ If a person wants to become more effective in a group, he or she can work on listening and responding to feedback, gradually learning about him- or herself and pushing the awareness line to the right.

✏ Illustrate this change by adding an arrow and a dashed line to the flipchart diagram to the right of the original awareness line (see Trainer's Resource 1, figure 3).

“ Such heightened self-awareness increases the area of free activity and **decreases the blind area or blind spot**. The larger the area of free activity, the more effective one's work in a group. A group can reduce its collective blind area and help individuals reduce their blind areas by encouraging feedback.

A person can also **decrease the avoided or hidden area** by becoming more open—sharing data and information about feelings and giving feedback to others.

✏ Illustrate this change by adding an arrow and a dashed line to the original flipchart diagram below the original openness line (see Trainer's Resource 1, figure 4).

10 minutes

Self rating using the model

☛ Distribute a copy of Handout 2, the Self-Rating Sheet, to each participant and instruct them in rating themselves as follows:

Soliciting feedback

❝ The scale across the top of the sheet is marked in increments from 1 to 9 to describe the extent to which a person solicits feedback.

Think back to your last group meeting and the times during the meeting when you felt curious about how others perceived you or about whether you were making your point.

Locate the point on the "solicits feedback" scale (across the top of the window) that describes how you *actually* solicited feedback in the meeting.

Don't choose a rating based on the number of times you *felt the need* for feedback. Your self rating should reflect the number of times you *actually asked* for feedback.

Drop a vertical line from the point you selected on the "solicits feedback" scale to the bottom of the window.

Disclosing self and giving feedback

❝ The vertical scale along the left-hand margin of the self-rating sheet measures from 1 to 9 the extent to which a person discloses him- or herself and gives feedback to the group.

Think again about your last group meeting and the times when you felt the need to give feedback to other group members, to express your own feelings and perceptions, or to take a stand on an issue.

Locate on the "self-disclosure/feedback" scale the point that describes how you actually gave feedback or disclosed yourself to the group.

Your choice should reflect the extent to which you actually *gave* feedback, not how many times you *felt the need* to give it.

Draw a horizontal line across the window from the point you've selected on the vertical scale.

Four quadrants

“ The two lines you have drawn divide the grid into four quadrants. Label them as follows:

upper left	**F**, for area of free activity
upper right	**BS**, for blind spot
lower left	**H**, for avoided or hidden area
lower right	**U**, for area of unknown activity

5 minutes

Some "basic types"*

✏ To give participants a feel for applying the model, copy the four "basic type" windows from Trainer's Resource 1 to the flipchart and review them with the group:

The Ideal

“ In the ideal situation, the group member solicits and gives feedback, which broadens his or her arena of free activity.

The Interviewer

“ The interviewer solicits feedback but does not provide much feedback or information about his or her own feelings, perceptions, or self. These remain hidden.

The Bull-in-a-China-Shop

“ This group member charges ahead, providing much feedback and disclosure but soliciting little feedback—and learning little about him- or herself—from the group. His or her blind spot remains large.

The Turtle

“ This mystery member neither solicits nor provides feedback.

☛ Ask participants to think about which type they most nearly approximate.

Then ask them to spend a few minutes thinking about what it would take to enlarge their areas of free activity.

---

* The four basic types are described in "The Johari Window: A Model for Soliciting and Giving Feedback," by Phillip Hanson, in *The 1973 Annual Handbook for Group Facilitators*, ed. John E. Jones and J. William Pfeiffer (San Diego), pp. 117–119. Used with the permission of University Associates, Inc.

40 minutes

Improving the environment for feedback

Principles of change

❝ Remind participants of two principles of change listed in the article:

- It takes energy to hide, deny, or be blind to behavior which is involved in interaction.
- Working with others is facilitated by a large enough area of free activity. It means more of the resources and skills in the membership can be applied to the task at hand.

The larger the area of free activity, the more straightforward and efficient the communications in the group can be.

Discussion: Feedback constraints

☛ Divide participants into working groups of 5–9 people. Ask each group to spend 20 minutes discussing the following topic:

> *What are the forces in your group that make it easy or difficult for you to solicit and give feedback?*

Have each group record responses on a flipchart.

Report out

☛ Ask the working groups to share their lists of encouraging and discouraging forces with the total group.

Steps to encourage feedback

☛ Ask the total group to recommend steps to take to increase the forces that encourage and to decrease the forces that discourage feedback in the group.

TRAINER'S RESOURCE 1

Understanding Feedback: The Johari Window

FLIPCHART DIAGRAMS*

	Known to self	Not known to self
Known to others	Area of free activity **F**	Blind area or blind spot **BS**
Not known to others	Avoided or hidden area **H**	Area of unknown activity **U**

Figure 1

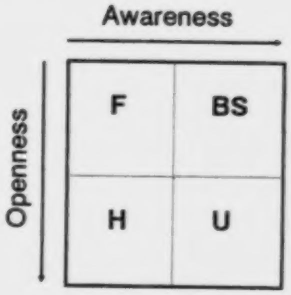

Figure 2

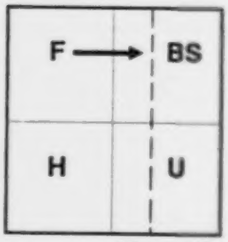

Figure 3

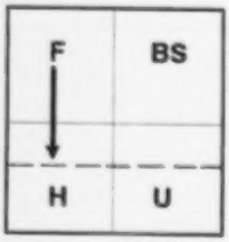

Figure 4

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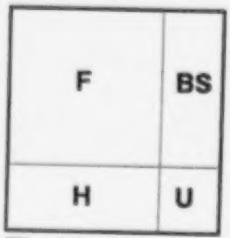
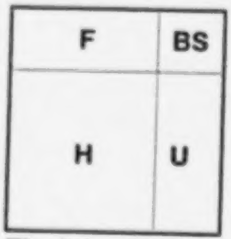
* Figure 1 was adapted from "The Johari Window: A Graphic Model of Awareness in Interpersonal Relationships," by Joseph Luft, in the *NTL Reading Book for Human Relations Training*, 7th ed., ed. Lawrence Porter and Bernard Mohr (Alexandria, Va., 1982), p. 34, with the permission of the NTL Institute for Applied Behavioral Science. Copyright © 1982. Figures 2–4 are adapted from "Analyzing and Increasing Open Behavior: The Johari Window," by Phillip Hanson, in *The 1973 Annual Handbook for Group Facilitators*, ed. John E. Jones and J. William Pfeiffer (San Diego), pp. 38–39, with the permission of University Associates, Inc.

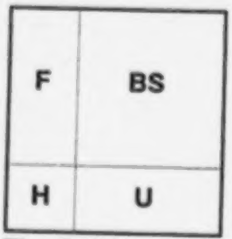
Some "Basic Types"*



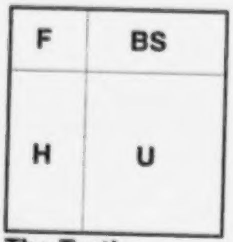
The Ideal



The Interviewer



The Bull-in-a-China-Shop



The Turtle

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* Reproduced from "The Johari Window: A Model for Soliciting and Giving Feedback," by Phillip Hanson, in *The 1973 Annual Handbook for Group Facilitators*, ed. John E. Jones and J. William Pfeiffer (San Diego), p. 118, with the permission of University Associates, Inc.

HANDOUT 1

Understanding Feedback: The Johari Window

THE JOHARI WINDOW: A GRAPHIC MODEL OF AWARENESS IN INTERPERSONAL RELATIONS*

by Joseph Luft

Like the happy centipede, many people get along fine working with others, without thinking about which foot to put forward. But when there are difficulties, when the usual methods do not work, when we want to learn more—there is no alternative but to examine our own behavior in relation to others. The trouble is that, among other things, it is so hard to find ways of thinking about such matters, particularly for people who have no extensive backgrounds in the social sciences.

When Harry Ingham and I first presented The Johari Window to illustrate relationships in terms of awareness (at Western Training Laboratories, in 1955), we were surprised to find so many people, academicians and nonprofessionals alike, using and tinkering with the model. It seems to lend itself as a heuristic device to speculating about human relations. It is simple to visualize the four quadrants which represent The Johari Window.

Quadrant I, the area of free activity, refers to behavior and motivation known to self and known to others.

Quadrant II, the blind area, where others can see things in ourselves of which we are unaware.

Quadrant III, the avoided or hidden area, represents things we know but do not reveal to others (e.g., a hidden agenda or matters about which we have sensitive feelings).

Quadrant IV, area of unknown activity. Neither the individual nor others are aware of certain behaviors or motives. Yet we can assume their existence because eventually some of these things become known, and it is then realized that these unknown behaviors and motives were influencing relationships all along.

FIGURE 1
The Johari Window

	Known to Self	**Not Known to Self**
Known to Others	**Area of Free Activity**	**Blind Area**
Not Known to Others	**Avoided or Hidden Area**	**Area of Unknown Activity**

[*] This article is reprinted from NTL's *Human Relations Training News,* 1961, 5(1), 6-7. A more complete exposition of Johari Window concepts may be found in Joseph Luft's *Of Human Interaction.* Palo Alto, Calif.: National Press Books, 1969 and his *Group Processes: An Introduction to Group Dynamics* (2nd ed.), Palo Alto, Calif.: National Press Books, 1970. [The Johari Window is named from its creators, Joe Luft and Harry Ingham.—Ed.]

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[*] Reproduced from the *NTL Reading Book for Human Relations Training*, 7th ed., ed. Lawrence Porter and Bernard Mohr (Alexandria, Va., 1982), pp. 34–35, with the permission of the NTL Institute for Applied Behavioral Science. Copyright © 1982.

The Quadrants and Changing Group Interaction

In a new group, Quadrant I is very small; there is not much free and spontaneous interaction. As the group grows and matures, Quadrant I expands in size; and this usually means we are freer to be more like ourselves and to perceive others as they really are. Quadrant III shrinks in area as Quadrant I grows larger. We find it less necessary to hide or deny things we know or feel. In an atmosphere of growing mutual trust there is less need for hiding pertinent thoughts or feelings. It takes longer for Quadrant II to reduce in size, because usually there are "good" reasons of a psychological nature to blind ourselves to the things we feel or do. Quadrant IV perhaps changes somewhat during a learning laboratory, but we can assume that such changes occur even more slowly than do shifts in Quadrant II. At any rate, Quadrant IV is undoubtedly far larger and more influential in an individual's relationships than the hypothetical sketch illustrates.

The Johari Window may be applied to *inter-group* relations. Quadrant I means behavior and motivation known to the group and also known to other groups. Quadrant II signifies an area of behavior to which a group is blind; but other groups are aware of this behavior, e.g., cultism or prejudice. Quadrant III, the hidden area, refers to things a group knows about itself but which are kept from other groups. Quadrant IV, the unknown area, means a group is unaware of some aspect of its own behavior, and other groups are also unaware of this behavior. Later, as the group learns new things about itself, there is a shift from Quadrant IV to one of the other quadrants.

Principles of Change

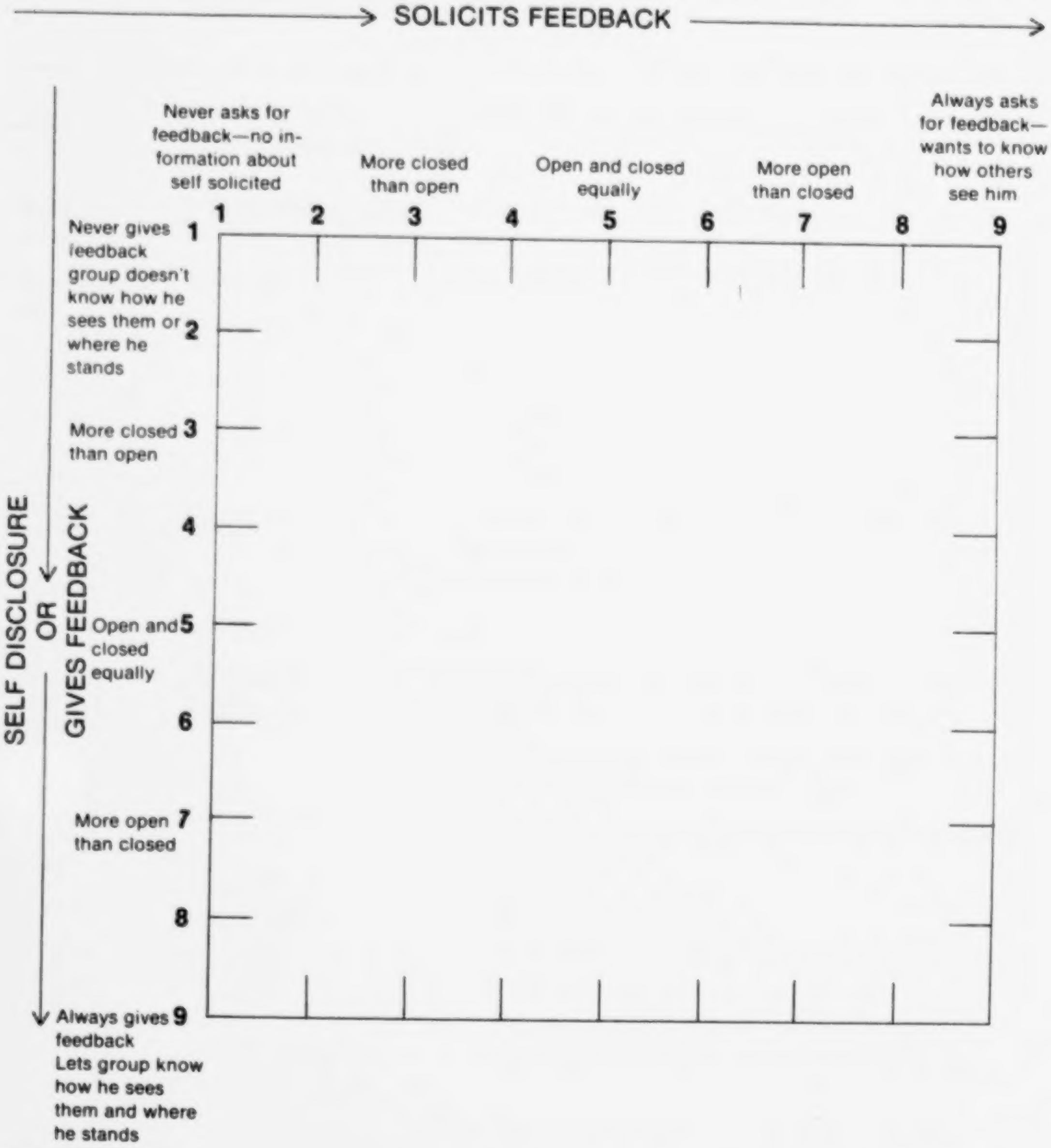
1. A change in any one quadrant will affect all other quadrants.
2. It takes energy to hide, deny, or be blind to behavior which is involved in interaction.
3. Threat tends to decrease awareness; mutual trust tends to increase awareness.
4. Forced awareness (exposure) is undesirable and usually ineffective.
5. Interpersonal learning means a change has taken place so that Quadrant I is larger and one or more of the other quadrants has grown smaller.
6. Working with others is facilitated by a large enough area of free activity. It means more of the resources and skills in the membership can be applied to the task at hand.
7. The smaller the first quadrant, the poorer the communication.
8. There is universal curiosity about unknown areas, but this is held in check by custom, social training, and by diverse fears.
9. Sensitivity means appreciating the covert aspects of behavior in Quadrants II, III, and IV and respecting the desire of others to keep them so.
10. Learning about group processes as they are being experienced helps to increase awareness (larger Quadrant I) for the group as a whole, as well for individual members.
11. The value system of a group and its membership may be noted in the way *unknowns* in the life of the group are confronted.

A centipede may be perfectly happy without awareness, but after all, he restricts himself to crawling under rocks. ☐

HANDOUT 2

Understanding Feedback: The Johari Window

SELF-RATING SHEET*


SOLICITS FEEDBACK
Never asks for feedback—no information about self solicited
More closed than open
Open and closed equally
More open than closed
Always asks for feedback—wants to know how others see him
1
2
3
4
5
6
7
8
9
SELF DISCLOSURE OR GIVES FEEDBACK
Never gives feedback group doesn't know how he sees them or where he stands
More closed than open
Open and closed equally
More open than closed
Always gives feedback Lets group know how he sees them and where he stands

---

* Reproduced from "Analyzing and Increasing Open Behavior: The Johari Window," by Phillip Hanson, in *The 1973 Annual Handbook for Group Facilitators*, ed. John E. Jones and J. William Pfeiffer (San Diego), p. 41, with the permission of University Associates, Inc.

INTERPERSONAL SKILLS 2

Developing Guidelines for Giving and Receiving Feedback

Description Participants are introduced to 13 criteria for effective feedback. In small groups, they select five key criteria that can serve as guidelines for improving feedback in the workplace group.

Performance objectives To describe several effective and ineffective feedback behaviors and

To adopt five guidelines that will improve giving and receiving feedback in the workplace group.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
60 minutes total	Materials	For each working group of 5–9 people, ☐ a flipchart and markers For each participant, a copy of ☐ Giving and Receiving Feedback: It Will Never Be Easy but It *Can* Be Better (Handout 1, pages 25–28)
	Flipcharts	The trainer may wish to prepare suggested flipcharts, indicated by the ✏ symbol, before the workshop.
15 minutes	**Definition of feedback**	☛ Introduce participants to the importance of feedback by covering the following points: “ In interpersonal relationships, the term "feedback" is often used to mean *providing information to another about his or her behavior* Examples include: *You tend to overuse "you know" in your conversation.* *You have spinach between your teeth.* *You keep harping on that same old subject.* “ In fact, a good definition of feedback goes further *providing information to another about the effects of his or her behavior*

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“ You would want to give a fellow group member feedback if he or she engaged in behavior that strained group relations, such as:

- monopolizing the discussion,
- interrupting people,
- failing to keep agreements,
- spreading untruths, or
- criticizing others' ideas and decisions.

In such cases, it would seem obvious that maintaining the effectiveness of the group and getting the most from all group members require:

- someone's delivering the needed feedback and
- the recipient's accepting it.

Why study feedback?

“ Few groups are simply "naturals" at feedback. Those groups that avoid it, however, will continue to experience disruptive or impeding behaviors and will lose the full value of group members, both those who are disturbed by the problem behavior and those who are unaware that they are causing a problem.

Breaking the cycle

“ It is possible to break the cycle if a group decides to create an environment conducive to sharing feedback. Such a group:

- recognizes feedback as an important tool (both for group effectiveness and for individual growth),
- accepts feedback as a matter of course, not as public denunciation or calling down,
- has guidelines for delivering feedback, so that it can be most effective, nonthreatening, and least damaging,
- knows that those guidelines can also be used to handle feedback effectively when it is received, and
- does not hesitate to practice feedback following those guidelines.

✏ You may wish to write these above characteristics on a flipchart for reference.

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	Developing group guidelines on feedback	☛ Distribute Handout 1, Giving and Receiving Feedback. Ask participants to read the definition on the second page. Emphasize the point in the final paragraph of that section: *Feedback . . . is an invitation to interaction . . . .* Note that it is easier to give or to receive feedback if everyone understands it as a problem-solving situation, an opportunity to get more complete information and to look at options.
15 minutes	Criteria for effective feedback	☛ Review with the group the 13 criteria for effective feedback in table 1 of the article. As you go through the list of behaviors, ask participants to provide examples of effective feedback statements. ✏ You may wish to record keywords from each of the 13 items on a flipchart for reference as you work through the list. Trainer's Resource 1 contains an abbreviated list of the 13 criteria.
20 minutes	Selecting five criteria	☛ Have participants divide into working groups of 5–9 people. Ask the working groups to spend 20 minutes reviewing the 13 criteria and selecting the 5 that are most needed to improve the effectiveness of feedback in the workplace group. Tell the groups that another way to approach the task is to identify those five behaviors in the "ineffective feedback" column that are most often encountered in giving feedback in the workplace group. The corresponding "effective feedback" behaviors are the five the group needs most to improve.

10 minutes	Common criteria	☛ Ask for a brief report from each working group on its list of five criteria. Circle on the flipchart the numbers of the criteria that working groups listed among their "top five." ✏ Head up a new flipchart page with the words, *Feedback Guidelines for [name of group]* and note on this flipchart any criteria common to all of the working group lists. These constitute the target behaviors that the group can concentrate on first in improving its feedback. ☛ Suggest that the group set a time 3–6 months away for reviewing its progress on meeting its five key criteria.

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TRAINER'S RESOURCE 1

Developing Guidelines for Giving and Receiving Feedback

13 CRITERIA FOR EFFECTIVE FEEDBACK*

Effective feedback . . .

1. Describes the behavior.
2. Is prompt.
3. Is direct.
4. Is owned by the sender.
5. Includes real feelings.
6. Is checked for clarity.
7. Asks information-seeking questions.
8. Specifies consequences.
9. Is solicited or desired.
10. Refers to changeable behavior.
11. Recognizes both sender and receiver.
12. Affirms the receiver's worth.
13. Acknowledges process.

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* Adapted from "Giving and Receiving Feedback: It Will Never Be Easy but It *Can* Be Better," by Larry Porter, in the *NTL Reading Book for Human Relations Training*, 7th ed., ed. Lawrence Porter and Bernard Mohr (Alexandria, Va., 1982), pp. 43–44, with the permission of the NTL Institute for Applied Behavioral Science. Copyright © 1982.

HANDOUT 1

Developing Guidelines for Giving and Receiving Feedback

GIVING AND RECEIVING FEEDBACK: IT WILL NEVER BE EASY BUT IT *CAN* BE BETTER*

by Larry Porter

We live in a world filled with feedback devices. Some are "coupled"—that is, the system ***automatically*** responds to feedback signals by making changes: A thermostat is one familiar example of this. However, many feedback devices merely provide us with information. It is then up to *us* to interpret that information and to decide how we want to use it.

"Uncoupled" feedback sources include such things as bathroom scales, fuel gauges, mirrors, tape recorders. Still others include ways in which people behave toward us—what they say and don't say, do and don't do, how they look, sound, etc.

These "uncoupled" indicators may be either unused or misused by us—particularly when our interpretations of the data are colored by our hopes, fears, needs, and desires.

When I'm driving, for example, I have a number of devices feeding back to me information about my car: its speed, engine temperature, oil pressure, fuel level. But I must interpret what that information "means" and make decisions as to what I want to do with it. I may, for example, note that the fuel gauge needle is low, but choose to ignore it for a while; or I may convince myself that it's broken; or I may play a game with it, to see how far I can go before I heed the information and pull into a gas station. I am not likely to cover the gauge up because it threatens or offends me; nor am I likely to wrench the needle from the "E" to the "F" (thereby "magically" filling the tank!).

Similarly with a bathroom scale: If I think I'm not going to like what it tells me, I may not get on it at all. Or, if I'm dieting, I may weigh myself continuously and risk fretting myself out of any chance of staying with the diet. Or I may convince myself that it "weighs heavy." Mirrors? I can avoid them, except when I'm "feeling thin" or "nicely rounded." And I know full well, when I listen to myself on tape, that "that doesn't sound like me."

Similarly with the feedback we get from people with whom we interact: we can play games with it, refuse to believe it, misinterpret it, etc. Most of us have at one time or another tried to cover up the "negative feedback" gauge ("I don't want to talk about it!"), or to wrench the pointer from "Empty" to "Full" ("You're just upset with me; it's nowhere near as bad as you say it is."), or we choose to ignore it.

Many of these behaviors can be grouped under the general heading of "defensiveness": denying, explaining, justifying, fighting, surrendering—everything but ***dealing*** with the feedback as information that may have great value to us if we can let it in and effectively use it.

For reasons having mostly to do with our upbringing, we want to look "good"[1] to the world (no matter how much we may deny it), and in the interest of doing this we may try to shut out information that runs counter to that so-much-desired image. We fear information that "disconfirms" our "OKness." This fear causes us to behave in ways that cut us off from feedback (either because it causes people to stop giving it to us or because it keeps us from being able to hear it), which is a pity, because game-free feedback can have great value. It's one of the major sources of information by which we can know how we're perceived by others, develop clarity about why our relationships are what they are (for good or bad), and decide what changes, if any, we want to make in our behaviors so as to improve the quality of some relationships.[2]

There's another problem, too. Not only are many of us afraid of feedback, but we lack skills related to sending and receiving it. Relatively few people have an opportunity to learn feedback skills. So we more or less automatically "do it the way it was done to us." And the way it was done to us is often what makes us fear it in the first place!

One way to break out of this cycle is to learn some feedback concepts. For example, what constitutes

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[1] Better yet, "perfect!"

[2] See also B. B. Bunker, "Using Feedback to Clear Up Misunderstandings in Important Relationships."

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effective (i.e., helpful, non-gameplaying) feedback? And then, practice those concepts, either in a setting which validates such experimentation (such as a human relations laboratory) or with people back home with whom we can share the information and whom we can use as ongoing resources as we seek to improve our skills.[3]

Definition

For our purposes here, I'm defining *feedback* as information that flows between people that has to do with their interaction in the here and now.[4]

Telling someone the time or that you'd rather go to a movie than to a baseball game is not feedback in the sense that I'm using the term. It's just *information.* I define *effective feedback* as information that: (1) can be heard by the receiver (as evidenced by the fact that s/he does not get defensive, etc.); (2) that keeps the relationship intact, open, and healthy (though not devoid of conflict or pain); and (3) that validates the feedback process in future interactions (rather than avoiding it because "last time it hurt so much").

Further, feedback does not assume that the giver is totally right and the receiver wrong; instead, it is an invitation to interaction, has some give-and-take to it. Also, it is a behavior that is inappropriate in interactions with people who do not have some significance in our lives (remember "Bob and Carol and Ted and Alice" and the waiter?), but all right in interactions that we know (or want) to have duration and importance.

Criteria for Effective Feedback

Following are 13 criteria for effective feedback. If this list sounds intimidating, keep in mind that some of them are easy to start using (once you're aware). In addition, you probably won't need to concern yourself with all of them and may find yourself focusing on a cluster of four or five which you realize (or are helped to realize) are problems for you. Also, I'm providing the "flip side" of each criterion—things we do which are

TABLE 1
Effective and Ineffective Feedback Behaviors

	Effective Feedback	**Ineffective Feedback**
1	Describes the behavior which led to the feedback. "You are finishing my sentences for me . . ."	Uses evaluative/judgmental statements. "You're being rude." Or generalized ones. "You're trying to control the conversation."
2	Comes as soon as appropriate after the behavior—immediately if possible, later if events make that necessary (something more important going on, you need time to "cool down," the person has other feedback to deal with, etc.).	Is delayed, saved up, and "dumped." Also known as "gunny-sacking" or ambushing. The more time that passes, the "safer" it is to give the feedback. Induces guilt and anger in the receiver, because after time has passed there's usually not much she or he can do about it.
3	Is direct, from sender to receiver.	Indirect, ricochetted ("Tom, how do you feel when Jim cracks his knuckles?)—also known as "let's you and him fight."
4	Is "owned" by the sender, who uses "I messages" and takes responsibility for his or her thoughts, feelings, reactions.	"Ownership" is transferred to "people," "the book," "upper management," "everybody," "we," etc.
5	Includes the sender's real feelings about the behavior, insofar as they are relevant to the feedback. "I get frustrated when I'm trying to make a point and you keep finishing my sentences."	Feelings are concealed, denied, misrepresented, distorted. One way to do this is to "transfer ownership" (see #4). Another way is to smuggle the feelings into the interaction by being sarcastic, sulking, competing to see who's "right," etc. Other indicators: speculations on the receiver's intentions, motivations, or psychological "problems": "You're trying to drive me nuts"; "You're just trying to see how much you can get away with"; "You have a need to get even with the world."

(continued)

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[3] For more on support groups, see Seashore, "Developing and Using a Personal Support System."

[4] More accurately, it is something *figural* (in the Gestalt sense)—that is, it is something *present* in their *attention* at the moment.

TABLE 1
Effective and Ineffective Feedback Behaviors

	Effective Feedback	**Ineffective Feedback**
6	Is checked for clarity, to ensure that the receiver fully understands what's being conveyed. "Do you understand what I mean when I say you seem to be sending me a double message?"	Not checked. Sender either assumes clarity or – fairly often – is *not interested* in whether receiver understands fully. "Stop interrupting me with 'Yes, buts!'"
7	Asks relevant questions which seek information (has a problem-solving quality), with the receiver knowing why the information is sought and having a clear sense that the sender does not know the answer.	Asks questions which are really statements ("Do you think I'm going to let you get away with that?") or which sound like traps ("How many times have you been late this week?") Experts at the "question game" can easily combine the two ("How do you think that makes me feel?" or "Do you behave that way at home *too*?")[1]
8	Specifies consequences of the behavior – present and/or future. "When you finish my sentences I get frustrated and want to stop talking with you." "If you keep finishing my sentences I won't want to spend much time talking with you in the future."	Provides vague consequences. "That kind of behavior is going to get you into trouble." Or specifies no consequences, substituting instead other kinds of leverage, such as "shoulds" ("You shouldn't do that.")
9	Is solicited or at least to some extent desired by the receiver.[2]	Is imposed on the receiver, often for her or his "own good."
10	Refers to behaviors about which the receiver can *do* something ("I wish you'd stop interrupting me."), if she or he wants to.	Refers to behaviors over which the receiver has little or no control, if she or he is to remain authentic. "I wish you'd laugh at my jokes."
11	Takes into account the needs of both sender and receiver; recognizes that this is a "process," that it is an interaction in which, at any moment, the sender can become the receiver. Sender: "I'm getting frustrated by the fact that often you're not ready to leave when I am." Receiver: "I know that's a problem, but I'm concerned about what seems to be your need to have me always do *what* you want *when* you want."	Is distorted by the sender's needs (usually unconscious or unconsidered) *to be safe* (not rejected): "Now, I don't want you to get angry, but . . ."; *to punish*: "Can't you ever do *anything* right?"; *to win*: "Ah-ha, then you admit that you *do* interrupt me?"; *to be virtuous*: (Watch this one!) "I'm going to level with you, be open with you . . ." etc. In short, most ineffective feedback behaviors come either from lack of skills or from the sender not seeing the process as an interaction in which both parties have needs that must be taken into account.
12	Affirms the receiver's existence and worth by acknowledging his or her "right" to have the reactions she or he has, whatever they may be, and by being willing to work through issues in a game-free way.	Denies or discounts the receiver by using statistics, abstractions, averages, by refusing to accept his/her feelings. "Oh, you're just being paranoid." "Come on! You're over-reacting." "You're not really as angry as you say you are."[3]
13	Acknowledges and, where necessary, makes use of the fact that a process is going on, that it needs to be monitored and sometimes explored and improved. "I'm getting the impression that we're not listening to each other. I'd like to talk about that and try to do this more effectively."	Either does not value the concept of "process" or does not want to take time to discuss anything other than content. Consequently does not pay any attention to the process, which can result in confusion, wasted time and energy, and lots of ineffective feedback.

[1] Most people can make significant improvements in their feedback skills by not asking any questions!

[2] Since this condition doesn't exist all that often you may wonder how you can *ever* give feedback. Keep two things in mind: (1) Not all the criteria have to be met all the time, and (2) If you have to *impose* it on the recipient, it's likely to be helpful to the process if you'll keep that in mind and take it into account as you interact.

[3] These may be accurate interpretations, of course, but the sender is not likely to "reach" the receiver by being "right" in these instances. In some significant human interactions there are often more important things than being that kind of "right."

not effective and which often trap us into games and other relational confusions. It may be that if you can just *stop doing some of those* you'll have made significant progress, even though you don't consciously try to do the ones listed as effective.

To repeat, that's a lot to keep track of, especially given the fact that most of us have had extensive training in how *not* to give feedback. Here are some suggestions you may find helpful:

1. Find out which ineffective feedback behaviors you most want to get rid of. You can do this by paying careful attention to what you do in significant interactions; you can also find out by asking the "challengers" (and others) in your support group[5] if they can point out any criteria you violate frequently. (Sure! Show them the list if that will help.) Work on those—perhaps two or three. Try to *stop* doing the ineffective things, at the very least.

2. Don't expect miracles. Disconfirming feedback almost always carries some sting, no matter how skillfully given; and some people are more easily stung than others. Relationships marked by a relatively high degree of open, competent feedback are likely to be richer, more complex, more interesting than those marked by little feedback or game playing. They are, however, also likely to be more prickly and intense; and they require more time and energy, at times, than do those relationships in which "disconfirmations" are withheld or masked.

3. If for one reason or another (fear of punishment, risk of losing a relationship you're not ready to lose, lack of confidence in your skills, etc.) you think you don't want to try to be more open and use more effective feedback behaviors, then *don't.* But pay attention to the choice you are making—there may be some important learning in it for you. Or you may want to test out some feedback in very small increments, to see what happens.

4. The 13 criteria are useful to you as a *receiver* of feedback as well as giver. You may decide that you can't/won't give much feedback to another in a given relationship. OK. But do try to use what you've learned as a means of "managing" feedback you receive. If someone tells you you're being obnoxious, you may elect to be hurt or angry, or you may choose to be *curious* (perhaps *in addition* to being hurt or angry!)—to ask for descriptive information: "What am I doing that causes you to say that?" You can also try to help others "own" their feelings, rather than allowing them to shuffle them off onto others ("People are talking . . ."). You can help the sender explore his or her feelings (active listening is useful here) or clarify for you (and perhaps himself or herself) the *consequences* of the behavior being discussed. In short, if you know something about effective feedback skills (and if you can avoid getting into a defensive posture), you may be able to be helpful to the person giving you feedback, so that the two of you are *problem-solving* rather than attacking/defending. This will help you too, in that it will either get you much clearer feedback or it will indicate what "game" the sender is playing.

5. Don't become a feedback addict. Sometimes people get excited about new learnings and use them all the time and in every place. This can wear thin very quickly. Not every event needs to be worked through. Not every utterance has to be perfect. Remember to allow for some slippage in your relationships; take small risks, be willing to "approximate," and see what happens. Above all, don't use others as guinea pigs on which to practice your skills.

6. The feedback process works best when it involves people who are—at least in that interaction—equals. If one person is "up" (dominant, "right," faultless, containing all virtue) and the other "down" (passive, "wrong," the culprit or villain of the piece), it is likely to turn into one of a number of games, as the "down" person attempts (usually without realizing it) to equalize the power between them, to gain what might be called psychological parity. If you can recognize that what began as a feedback interaction between equals has moved to "helpless me" or "awful me" or "you're one, too" or "but you don't understand," or any of a variety of behaviors that might be lumped under the term "attack/defense," you may be able to alter the interaction's direction by having both you and the other person look at what's happening. Note well: both *you* and the other person. For as long as the burden is on the other, you're maintaining or increasing your "upness" and promoting an escalation of the power equalization efforts.

By now you may be muttering, "But it's so complicated; and it sounds like hard work; and it also sounds risky." Yes. And the same can be said of many of the things that are important to us. It is, I believe, a matter of *valuing.* If I value clear, open relationships, if I value the others with whom I share those relationships, and—most important, I think—if I value *myself* in those relationships, then I may find that I have no choice but to do the hard work, take the risks, suffer the losses, and be enriched by the gains. □

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[5] See footnote 3.

INTERPERSONAL SKILLS 3

Practicing Feedback

Description Participants discuss characteristics of helpful feedback. In two practice sessions, they give and receive specific feedback on past behaviors—both those that have promoted and those that have impeded group effectiveness.

Prerequisite: The exercise *Developing Guidelines on Giving and Receiving Feedback* should precede this exercise.

Performance objectives

To recognize feedback as a tool for examining perceptions about others,

To receive and clarify both positive and negative feedback, and

To give others effective feedback on both positive and negative behaviors in group activities.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
115 minutes total	Materials	☐ a flipchart and markers For each working group of 4–6 participants, ☐ 50 copies of A Feedback Message Sheet: Session 1 and Session 2 (Handout 3, page 43). Cut these feedback sheets apart before the session begins. For each participant, a copy of: ☐ Using Feedback To Clear Up Misunderstandings in Important Relationships (Handout 1, pages 37–39) ☐ 13 Effective and Ineffective Feedback Behaviors (Handout 2, pages 41–42), to be used as a refresher if this exercise is not being conducted in the same workshop as the *Developing Guidelines* exercise. ☐ Example Feedback Message Sheet: Session 1 and Session 2 (Handout 4, page 45). Cut the two examples apart before the session begins.

5 minutes

Importance of feedback

☛ Introduce the exercise with the following points:

“ Misunderstandings can strain relationships. Even when there is no conflict, misunderstandings can occur if someone misperceives another's intentions.

Feedback is the major strategy available to us to clear up misunderstandings.

In groups in which little or no feedback is exchanged, misunderstandings are likely. Without feedback, group members cannot check their perceptions of others for accuracy.

Effective feedback is feedback designed to improve relationships, to reduce dysfunctional behaviors, and to help individuals become stronger and more effective. The intent in giving feedback is never to damage or hurt anyone. Each group member has a responsibility to learn how to give feedback in a way that will help its recipient to grow.

☛ Distribute a copy of Handout 1, Using Feedback To Clear Up Misunderstandings . . . , to each participant. Ask participants to read the article, beginning with the section on "The Role of Perception . . . " and continuing to the end.

20 minutes	**Helpful and unhelpful feedback**	☛ Divide participants into working groups of 4–6 people, and ask them to take 10 minutes to recall occasions on which they received feedback that was helpful and occasions on which they received feedback that was not helpful and perhaps even hurtful or harmful. Ask them to identify the factors that contributed to making the feedback helpful or unhelpful. ✏ Ask each working group to share some of its "helpful feedback" examples, focusing on the key factors that accounted for the feedback being helpful. Record these key factors on a flipchart.
	Review of effective feedback behaviors	☛ If the group has *just* completed the exercise *Developing Guidelines for Giving and Receiving Feedback* in this workshop, refer them to the table of 13 effective and ineffective behaviors in Handout 1 from that exercise. Otherwise, distribute Handout 2 from this exercise, which reproduces the table from the earlier handout. Ask participants to take a few minutes to review the 13 effective feedback behaviors. In the practice sessions that follow, participants will work to become more skilled at giving feedback and more receptive to hearing it. Suggest that during these sessions, group members adhere to the 13 effective behaviors listed in the table, as well as to any additional factors the group identified in this discussion.

10 minutes

Overview of feedback sessions

☛ Tell participants that the practice sessions are opportunities to practice effective feedback behaviors. Far from being occasions to unload negative feelings, they are opportunities to provide fellow group members with information about themselves that may previously have been withheld—information that will be useful to the recipient as well as to the group by contributing to the recipient's growth as a group member.

Have participants return to their working groups of 4–6 people, where they will engage in two 25-minute feedback sessions.

Each participant will spend the first 10 minutes of each session completing A Feedback Message Sheet for each member of his or her working group.

Participants will spend the last 15 minutes of each session in one-on-one dialogues with other working group members, exchanging message sheets and asking and answering questions for clarification.

10 minutes

Feedback on positive behaviors: Instructions

☛ Distribute to each working group 50 copies of A Feedback Message Sheet: Session 1.

Tell participants that, in the first 25-minute session, each of them will give and receive feedback on some specific past behavior that has had a *positive* effect on the ongoing work of the group.

Components of a feedback message

☛ Ask participants to examine one of the blank Feedback Message Sheets. Tell them that their positive feedback should contain four elements, for which blanks have been left on the message sheet:

- a **description** of the behavior,
- the **feeling** that the behavior generated in the person giving the feedback,
- a brief **explanation** of why that feeling came up, and
- the **benefits** that are likely to result from continuing the behavior.

Example

☛ Distribute to each person a copy of Example Feedback Message Sheet: Session 1. Review the example with the group, emphasizing that one key to effective feedback is *being specific*. Go into more detail as follows:

Being specific

“ Being specific about the behavior and its benefits is critical to making positive feedback effective. Simply to thank someone for the work he or she is doing is *incomplete* feedback. Identify and communicate the *specific* action and its attributes—timeliness, quality, or responsiveness, for example—if you want your feedback to be effective in stimulating continued positive action.

Assumptions vs. intentions

“ You may also explain *why* a behavior generated a specific feeling in you by expressing what you assumed. For example,

When you elaborated on my idea,
I felt that you were seriously considering it.

Stating what you *assumed* gives the recipient of the feedback a cue to clarify his or her *intentions*, thereby opening up communication.

Benefits

“ Your feedback is more likely to elicit continued positive action if you *specify* the likely benefits of the action. Such a statement helps to put the action in context and to confirm its value to the group's work. A more general statement ("Your work was helpful") obscures what it is the doer might wish to repeat.

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25 minutes **Feedback session 1**

☛ Remind participants that they will have 10 minutes to complete their message sheets and 15 minutes for one-on-one exchanges to clarify the feedback.

Also remind them that each specific behavior described must be one that has contributed to the effectiveness of the total group. Ask them to begin writing their messages.

When 10 minutes have elapsed, tell participants to distribute their message sheets to the recipients and to begin the 15-minute period for one-on-one clarification of feedback messages.

When 10 minutes have elapsed, give the groups a 5-minute warning of the end of the first feedback session.

10 minutes

Feedback on impeding behaviors: Instructions

☛ Tell participants that, in this second feedback session, they will exchange feedback on past behaviors that have impeded group effectiveness. Distribute to each working group 50 copies of A Feedback Message Sheet: Session 2.

Components of a feedback message

☛ Note that a feedback message on an impeding behavior will *specify* the impeding behavior, the feeling it generated, the explanation of the feeling, and the anticipated consequences.

Example

☛ Distribute to each person a copy of Example Feedback Message Sheet: Session 2. Review the example with the group, emphasizing the importance of *being specific*, as follows:

Being specific

❝ Be specific in **describing** the impeding behavior. Avoid generalizing ("You are always doing ____________").

Remember also that your feedback must describe behavior. *Do not evaluate the person* performing the behavior.

Try to recognize and communicate your **feelings**—the degree of sad, mad, bad, or glad you feel about the behavior—if you want your feedback to be effective in curbing the behavior.

Stating your **assumptions** is particularly important in delivering negative feedback. If you tell another group member

> *When you interrupted me, I assumed that you did not value my contribution . . . .*

you are giving that person a cue to clarify his or her intentions and reduce misunderstanding.

Feedback is most likely to bring about change if you specify the likely **consequences** of repeating an impeding behavior. Instead of telling someone that failing to keep an agreement is a "real problem," specify that it will result in your unwillingness to trust him or her with further responsibilities.

25 minutes	**Feedback session 2**	☛ Distribute 50 copies of A Feedback Message Sheet: Session 2 to each working group. Remind participants that they will have 10 minutes to complete message sheets for each member of their working group, describing behaviors that have taken place in past group activities and that have hindered the group's effectiveness. Suggest that they refer to the list of 13 effective behaviors as they develop their messages. As in the first session, there will be 15 minutes for one-on-one clarification once the 10-minute message-writing period is over. Ask participants to begin writing their messages. When 10 minutes have elapsed, ask them to distribute their message sheets and to begin the 15-minute period for one-on-one dialgoues about feedback messages. When 10 minutes have elapsed, give the groups a 5-minute warning.
10 minutes	**Conclusion: Feedback for the trainer**	☛ Conclude the session by asking participants for their feedback on your performance as facilitator for this exercise. Model nondefensive behavior. Remember to thank participants for their comments.

HANDOUT 1

Practicing Feedback

USING FEEDBACK TO CLEAR UP MISUNDERSTANDINGS IN IMPORTANT RELATIONSHIPS*

by Barbara Benedict Bunker

One common source of strain in our important relationships is the *misunderstanding* that occurs when people misperceive one another's intentions. Another source is *conflict*, which develops when there are disagreements as to values, decisions, ideas, ends, means, etc. It is problems caused by misperceptions, not disagreements, that this article will address. Further, it will focus on misunderstandings in *important relationships*. It may be helpful to provide an example that will make clear the distinction between relational difficulties caused by *misunderstanding*, and those caused by *conflict*.

When a decision has to be made about an expenditure of money and the two decision makers have different priorities for the use of those dollars, they are in a *conflict* that must be resolved. In another case, when two persons are negotiating about an expenditure and one keeps putting off or forgetting appointments to make the final decision, the other may develop a belief that the postponer is passively trying to sabotage the project, or make the other appear inefficient. Whatever belief is developed about the motivation of the postponer creates feelings in the person who holds that belief. In this case the feelings are apt to be angry or unpleasant and may cause a disruption in the relationship. The question is: "Is it true that the postponer is trying to make the other look bad?" It may not be. For example, the postponer's parents may have been in a serious car accident that has caused major interferences with normal functioning. But that information is not generally known. In this case the cause of the relationship difficulty is *misperception* (not conflict).

It is important to understand how *misperceptions* occur. The first section of the paper deals in some detail with the development of relationships and how perceptions are crucial in this process. Then we will turn to a discussion of *feedback*, the major strategy available to us for straightening out misunderstandings. We will show why feedback works especially well for these kinds of problems and discuss its centrality in maintaining important relationships.

The Role of Perception in the Development of Relationships

When two people develop a relationship, there are two important processes which they use to get to know each other: (1) They *tell*, or self-disclose, about themselves; and (2) They *observe what the other person does*, and on the basis of this they *make inferences* about the other.[1]

Both processes are important, sometimes occurring together and sometimes separately. Telling you about me is often one of the earliest things that happen in relationships. In our American culture, these disclosures usually begin with relatively innocuous information, such as where you were raised, work roles, the weather. If you respond, we tell each other more and more important things about ourselves.

As people spend more time with one another, each has a chance to observe the other's behavior. Impressions are formed of the other as a result of these observations. There are parts of you that I cannot see. I cannot see your values, beliefs, attitudes, intentions, or even your feelings. What I *can* see is what you do, your actions or behavior. In the ordinary, everyday process of interacting with others, I make the assumption that what you do, your actions, are expressions of the part of you that I can't see (your intentions, feelings, etc.). On the basis of this assumption, I make inferences about the meaning of your behavior. For example, if you invite me to an important family social occasion, I may interpret this to mean that you feel very close to me. Notice, however, that these inferences are only our perceptions of what cannot be observed in the other, even though we may act upon them as though they were true.

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[1] These two processes correspond to windows in the Johari Window. The telling or self-disclosure process is the part of me that I know but you do not know unless I tell you. The observing process is the part of me that is known to you, the observer, but not to me. (See Luft, "The Johari Window.")

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How do we make these inferences? How do we decide what all the actions we see mean? As we grow up, we develop through our experiences what psychologists have called an "implicit personality theory." We develop a set of beliefs about the probability that certain actions are associated with particular feelings, intentions, or beliefs. For example, I see two people meeting and one approaches the other with a hug and kiss. If, in my implicit personality theory, I believe hugs and kisses are usually expressions of affection, my inference is that one person feels very affectionate toward the other. (I assume this even though I am aware that there are times when the same behaviors may stand for quite different feelings, e.g., Judas Iscariot.) Over our lifetimes we develop similar interpretations for hundreds of behaviors—e.g., the wrinkled brow (perplexed or displeased), a sudden jerk in the body (startled or afraid), the outstretched hand (greeting or welcome). When people act, we interpret and then respond on the basis of our interpretation. We can't stop to ask the other about the meaning of each action. We would never have time or patience to maintain our relationships if we had to ask about each action of the other.

To repeat an important point: Everyday relationships are conducted on the basis of hundreds of interpretations of the actions of others. We respond to others based on our own interpretations which we have developed over time. This process is terribly useful because it helps social interaction to occur easily and efficiently.

But what happens when our interpretation of an action is not correct? If Jimmy, age eight, comes up to his school teacher and hits her in the stomach, a common interpretation of what is going on in Jimmy would be that he is mad at her or that he is frustrated by her and is expressing his frustration. If she doesn't inquire further, she would probably begin to interact with him under the assumption that he is very angry. But what if she discovers that another boy in his class had bet him five dollars that he didn't have the nerve to sock his teacher? At that point she would have a different explanation for his behavior. If she responded to him as angry, not knowing about the bet, the potential for dealing effectively with the situation is low.

Here is another example from an older age group. Suppose you are in a meeting and a person new to the group interrupts you before you can complete your sentence four times during the course of an hour. You feel rising irritation toward this person. Why is this happening? One possibility is that she is aggressive, wants to look good to others, and is therefore moving in rapidly with ideas to establish as high status as possible in the group. In effect, disregard for your ideas (an interpretation based on her action of cutting you off) can lead you to the inference that the other is only interested in self. Another possible explanation is that the person is quite concerned about becoming a member of the group and is eager to be seen as a useful participant. The anxiety of being new is expressed by talking a lot and not listening well. In other words, her intention is to become a good member of the group but her behavior is awkward, not a very good representation of her intentions, and thus easily interpretable as meaning something else.

Your interpretation will determine how you proceed to interact. If you decided that the person was only out for herself, you might feel and act differently than if you saw a person who was awkwardly struggling to join up.[2]

There are always going to be occasions when our own interpretations of what is going on in another person are incorrect. After all, we are using a theory based on probabilities established by experience and there will always be individual exceptions. When this happens the potential for problems to develop in relationships is high and we need a process for checking out with the other person the interpretation we have made. The process that helps us correct such errors of interpretation is called *feedback*.

Feedback as a Strategy for Clearing Up Misperceptions

Feedback slows down and changes the normal process of observing and interpreting other people's behavior. This change is articulated in the conventional "rules for giving feedback."[3] The first step of the feedback process between two people is that the observer describes the actions of the other. That is, she describes only what can be seen, the behavioral data, not her inference about its meaning. Step two in the process occurs when the observer goes on to describe (self-disclose) her own feelings in reaction to that behavior. Both parts are exemplified in: "When you interrupted me four times in the meeting today, I felt annoyed."

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[2] For more on how we interpret events, see Porter, "The Learning Journal: Some Mechanics."

[3] See Porter, "Giving and Receiving Feedback."

Why is such a statement a useful way to explore misperceptions in relationships? The two steps of the feedback process do several things. First, describing the specific behavior permits the other to understand concretely what has caused difficulty in the relationship. Then, rather than interpreting the behavior, the observer describes her own feelings. In doing this, she renders herself more rather than less vulnerable.

Why is vulnerability such a key issue in the feedback process? When an important relationship is strained, both persons feel discomfort. An exploration of the cause of the tension may increase feelings of vulnerability, and yet it is only through such an exploration that new understandings develop and the relationship deepens. If both persons feel equally vulnerable there is a good chance that the tension can be borne in the service of developing a better relationship. If, on the other hand, one person is vulnerable and the other is not, there may be very little motivation for the first to remain vulnerable. Rather, the inclination will be to become self-protective.

Using the ordinary interpretation process, the observer might have said, "When you interrupted me four times in the meeting today, I began to think that you are more interested in establishing your own position in this group than in listening to others, and specifically to me." The psychological effect of that type of interpretive statement is that the one who makes it remains protected, not vulnerable to the other. This is because the statement discloses nothing of the speaker's own feelings. Yet the one who did the "interrupting" is clearly on the spot with regard to the impact of her behavior on another. The subtle (or not so subtle) implicit message is "The problem is in you; do something about it. It's your problem, not mine!" That is why interpretation of someone else's behavior makes it more difficult for them to explore that behavior, to respond openly.

One of the truisms of human interaction is that people don't like being told by others what their inner feelings and intentions are. They like being in control, and able to disclose feelings when they decide the time is right. Feedback creates a process where such a disclosure is an option. The other tells me what I did and what feelings that created. ("When you interrupted me four times in the meeting today, I felt annoyed.") Now I can choose whether I want to share, explore, or disclose what I was feeling and experiencing when I acted.

Feedback, then, is a process where risk is mutual. The person who gives the feedback becomes vulnerable by expressing feelings (not an interpretation, which is no risk). The receiver of the feedback may respond by taking the risk of disclosing what was not observable to the other.

It is the mutual sharing of those areas of each of us that are not observable by others which can clarify and deepen our most significant relationships. For that reason, the feedback process is only for those relationships where there is ongoing concern for the quality of the relationship. In other words, feedback requires not only risk, but also commitment. Those who engage in the feedback process must be prepared to commit themselves to the time and energy needed to explore and work through the issues raised. Feedback is a mutual process that needs the commited agreement of both parties in advance.

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HANDOUT 2

Practicing Feedback

13 EFFECTIVE AND INEFFECTIVE FEEDBACK BEHAVIORS*

TABLE 1
Effective and Ineffective Feedback Behaviors

	Effective Feedback	Ineffective Feedback
1	Describes the behavior which led to the feedback. "You are finishing my sentences for me. . ."	Uses evaluative/judgmental statements. "You're being rude." Or generalized ones. "You're trying to control the conversation."
2	Comes as soon as appropriate after the behavior – immediately if possible, later if events make that necessary (something more important going on, you need time to "cool down," the person has other feedback to deal with, etc.)	Is delayed, saved up, and "dumped." Also known as "gunny-sacking" or ambushing. The more time that passes, the "safer" it is to give the feedback. Induces guilt and anger in the receiver, because after time has passed there's usually not much she or he can do about it.
3	Is direct, from sender to receiver.	Indirect, ricochetted ("Tom, how do you feel when Jim cracks his knuckles?") – also known as "let's you and him fight."
4	Is "owned" by the sender, who uses "I messages" and takes responsibility for his or her thoughts, feelings, reactions.	"Ownership" is transferred to "people," "the book," "upper management," "everybody," "we," etc.
5	Includes the sender's real feelings about the behavior, insofar as they are relevant to the feedback. "I get frustrated when I'm trying to make a point and you keep finishing my sentences."	Feelings are concealed, denied, misrepresented, distorted. One way to do this is to "transfer ownership" (see #4). Another way is to smuggle the feelings into the interaction by being sarcastic, sulking, competing to see who's "right," etc. Other indicators: speculations on the receiver's intentions, motivations, or psychological "problems." "You're trying to drive me nuts." "You're just trying to see how much you can get away with." "You have a need to get even with the world."
6	Is checked for clarity, to ensure that the receiver fully understands what's being conveyed. "Do you understand what I mean when I say you seem to be sending me a double message?"	Not checked. Sender either assumes clarity or – fairly often – *is not interested* in whether receiver understands fully. "Stop interrupting me with 'Yes, buts!'"
7	Asks relevant questions which seek information (has a problem-solving quality), with the receiver knowing why the information is sought and having a clear sense that the sender does not know the answer.	Asks questions which are really statements ("Do you think I'm going to let you get away with that?") or which sound like traps ("How many times have you been late this week?") Experts at the "question game" can easily combine the two ("How do you think that makes me feel?" or "Do you behave that way at home *too*?")[1]
8	Specifies consequences of the behavior – present and/or future. "When you finish my sentences I get frustrated and want to stop talking with you." "If you keep finishing my sentences I won't want to spend much time talking with you in the future."	Provides vague consequences. "That kind of behavior is going to get you into trouble." Or specifies no consequences, substituting instead other kinds of leverage, such as "shoulds" ("You shouldn't do that.")
9	Is solicited or at least to some extent desired by the receiver.[2]	Is imposed on the receiver, often for her or his "own good."

(continued)

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TABLE 1
Effective and Ineffective Feedback Behaviors

	Effective Feedback	Ineffective Feedback
10	Refers to behaviors about which the receiver can *do* something. ("I wish you'd stop interrupting me."), if she or he wants to.	Refers to behaviors over which the receiver has little or no control, if she or he is to remain authentic: "I wish you'd laugh at my jokes."
11	Takes into account the needs of both sender and receiver; recognizes that this is a "process," that it is an interaction in which, at any moment, the sender can become the receiver. Sender: "I'm getting frustrated by the fact that often you're not ready to leave when I am." Receiver: "I know that's a problem, but I'm concerned about what seems to be your need to have me always do *what* you want *when* you want."	Is distorted by the sender's needs (usually unconscious or unconsidered) *to be safe* (not rejected): "Now, I don't want you to get angry, but . . ."; *to punish*: "Can't you ever do *anything* right?"; *to win*: "Ah-ha, then you admit that you *do* interrupt me?"; *to be virtuous* (Watch this one!): "I'm going to level with you, be open with you," etc. In short, most ineffective feedback behaviors come either from lack of skills or from the sender not seeing the process as an interaction in which both parties have needs that must be taken into account.
12	Affirms the receiver's existence and worth by acknowledging his or her "right" to have the reactions she or he has, whatever they may be, and by being willing to work through issues in a game-free way.	Denies or discounts the receiver by using statistics, abstractions, averages; by refusing to accept his/her feelings: "Oh, you're just being paranoid." "Come on! You're over-reacting." "You're not really as angry as you say you are."[3]
13	Acknowledges and, where necessary, makes use of the fact that a process is going on, that it needs to be monitored and sometimes explored and improved: "I'm getting the impression that we're not listening to each other. I'd like to talk about that and try to do this more effectively."	Either does not value the concept of "process" or does not want to take time to discuss anything other than content. Consequently does not pay any attention to the process, which can result in confusion, wasted time and energy, and lots of ineffective feedback.

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[1] Most people can make significant improvements in their feedback skills by not asking *any* questions!

[2] Since this condition doesn't exist all that often you may wonder how you can *ever* give feedback. Keep two things in mind: (1) Not all the criteria have to be met all the time, and (2) If you have to *impose* it on the recipient, it's likely to be helpful to the process if you'll keep that in mind and take it into account as you interact.

[3] These may be accurate interpretations, of course, but the sender is not likely to "reach" the receiver by being "right" in these instances. In some significant human interactions there are often more important things than being that kind of "right."

HANDOUT 3

Practicing Feedback

A FEEDBACK MESSAGE SHEET: SESSION 1

I, ______________________, want to give you, ______________________,

some helpful feedback on one specific thing that you do or that you did

that **contributes or has contributed to the effectiveness** of our group.

When you ____

____,

I felt ______________________ because ______________________

____.

Your action will benefit the group by ______________________

____.

✂ -

A FEEDBACK MESSAGE SHEET: SESSION 2

I, ______________________, want to give you, ______________________,

some helpful feedback on one specific thing that you do or that you did

that **impedes or has impeded the effectiveness** of our group.

When you ____

____,

I felt ______________________ because ______________________

____.

Consequently, if you continue to do this, I ______________________

____.

HANDOUT 4

Practicing Feedback

EXAMPLE FEEDBACK MESSAGE SHEET: SESSION 1

I, John A., want to give you, Mary L.,

some helpful feedback on one specific thing that you do or that you did

that **contributes or has contributed to the effectiveness** of our group.

When you volunteered to head up the data committee when no one else would,

I felt grateful to you because you demonstrated commitment to the group objectives.

Your action will benefit the group by getting a difficult task done and showing a willingness to accept a share of the "dirty work.".

✂--

EXAMPLE FEEDBACK MESSAGE SHEET: SESSION 2

I, John A., want to give you, Mary L.,

some helpful feedback on one specific thing that you do or that you did

that **impedes or has impeded the effectiveness** of our group.

When you refused to acknowledge that my idea of surveying the department had any merit,

I felt angry because it seemed you had already made up your mind.

Consequently, if you continue to do this, I decided that I might be unwilling to offer any new suggestions.

7.3–4(103190) 1 of 1

INTERPERSONAL SKILLS 4

How Well Do I Listen?

Description Participants learn some basic information and data about listening. They conduct a round of 5-minute interviews to permit them to observe and diagnose their own bad listening habits, and a 1-minute listening session to practice a new technique.

Performance objectives

To describe the importance of listening,

To recognize bad personal listening habits, and

To describe several techniques that will help to reverse poor listening habits.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
75 minutes total	Materials	☐ a flipchart and markers For each participant, a copy of ☐ Power Listening: All You Need To Be an Effective Listener (Handout 1, pages 53–62)
10 minutes	**Introduction to effective listening**	☛ Introduce the concept of listening by discussing several of the key ideas contained in the first four sections of the article, Power Listening . . . .
	What is a good listener?	❝ An expert listener has the power to influence. Expert listening requires a great effort. Listening is more than hearing; it is active. A good listener hears not only the content of the message but also the emotion behind it. The good listener attends to what the speaker is not saying and to his or her intentions as they are communicated through posture, gestures, and vocal qualities like speed, pitch, inflection, and vocal variety. Good listening requires discipline, concentration, and practice. 80% of our waking hours are spent communicating; 45% of that time is spent listening. 75% of the words that go through our ears are either ignored, misunderstood, or forgotten.

Reasons we don't listen

" One of the key reasons we don't listen has to do with our body hardware; the brain is just too fast for the tongue. (The brain processes information at a rate of 1,000 to 1,400 words per minute; most people speak at about 125 to 140 words per minute.)

Another problem is that a person's attention span may be very short. According to a North Carolina University study, most people listen actively for only about 17 seconds at a time.

A third reason for our difficulty as listeners has to do with our education. The amount of education we received in communication skills is inversely related to how much we use those skills:

- **Writing**, the most-taught skill, is least used (9% of our communication time).
- **Reading**, the second-most-taught, is used only 16% of the time.
- **Speaking**, for which we receive little or no training, is used 30% of the time.
- **Listening**, which is least taught, is used 45% of the time.

Purpose of this exercise

" To be effective listeners, we need to recognize our own bad listening habits, learn techniques that will help us improve our skills, and practice those techniques until they become habitual.

This exercise will help you to recognize your own bad listening habits and provide you with some techniques for effective listening.

7.4(103190)

20 minutes **Bad listening habits exercise**

☛ Ask participants to divide into groups of three (triads). Each triad should find a comfortable place within the room where they can take their chairs or sit on the floor and find some privacy.

Tell the triads that they will have 15 minutes to conduct three 5-minute job interviews. Each group member will play each role—interviewer, interviewee, and observer—in turn. Clarify the roles as follows:

Interview roles

“ The **interviewer's** role is to listen to the job experience, skills, and interests of the interviewee. The interviewer may elicit further information from the interviewee by way of encouraging further disclosure but may not disclose anything about him- or herself or the job for which the interviewee is applying.

The **interviewee's** role is to disclose as much information about his or her job experience, skills, and interests as possible. Interviewees are not to make up the information but should use their own experience, skills, and interests. They should not be concerned about or inquire about the nature of the job for which they are applying. Instead, they are to focus on themselves.

The **observer's** role is to observe the interview process silently, noting all the behaviors and words of the interviewer that appear to encourage and discourage disclosures by the interviewee. Observers should feel free to jot down their observations.

☛ Tell the groups that you will give them 5-minute signals to rotate roles and begin another interview. Ask the groups to decide who will play which role initially and to begin.

15 minutes

Identifying bad listening habits

☛ When the third interview has been concluded, distribute to each participant a copy of Handout 1, Power Listening: All You Need To Be an Effective Listener. Refer participants to the section on bad listening habits, beginning on the fourth page.

✏ Review with the group the eight bad habits described, recording each on the flipchart as you explain it.

☛ Suggest that there are many other bad listening habits, such as

- becoming overstimulated by what the speaker is saying or
- letting emotion-laden words arouse negative reactions.

✏ Record these two additional habits.

☛ Ask participants for other examples of bad listening habits and record those on the flipchart also.

Then ask participants to spend a couple of minutes reflecting on their experiences as interviewers:

How well did you listen?

Which of the bad listening habits listed on the flipchart did you find yourselves revealing? How frequently?

What other bad listening habits did you demonstrate?

Which of the habits seem to be most ingrained?

7.4(103190)

15 minutes	**Improving listening habits**	☛ Remind the group that everyone has developed *some* bad listening habits. No one is exempt. The key to improving listening skills is to know which bad habits one repeats the most so that one can concentrate improvement efforts. Ask the triads to spend 15 minutes discussing their interview processes and sharing some of the difficulties each member had in listening. Encourage participants to elicit information from the observers. Ask that each participant come out of the discussion with a list of three to five bad listening habits he or she wants to target for improvement.
5 minutes	Improvement techniques	☛ Tell participants that the handout article reviews some listening techniques in the sections called "Six basic techniques" and "Advanced techniques." Ask them to read those two sections, checking off the techniques that will be most useful in reforming the three to five bad habits on their personal lists.
10 minutes	Practice session	☛ Point out that listening skills are amenable to practice, just like any other skill. Note that the author of the article suggests setting up a daily plan for practicing listening skills in 1-minute sessions. Ask that each participant select one of the advanced techniques he or she has just checked off to practice in a 1-minute listening session, during which you will be the speaker. Begin reading the "References" section on the last page of the handout, starting with the word "References." Read for 1 minute.

more ⇨

☛ At the end of the minute, note that the material you just read was unusually difficult for a listener. Ask participants to comment on the success of their practice, including:

- recalling what they heard,
- identifying what technique they practiced and how it affected what they heard, and
- acknowledging whether they were able to sustain the skill for the full minute.

Ask if there are any questions or comments about listening skills.

An action plan

☛ Emphasize the importance of commitment to a plan of action that includes practice times as a necessary step in becoming a more effective listener. Use the example of an exercise program: An exercise instructor can orient someone to a physical fitness program and instruct that person on the use of the exercise machines, but getting in shape is up to the individual.

HANDOUT 1

How Well Do I Listen?

POWER LISTENING: ALL YOU NEED TO BE AN EFFECTIVE LISTENER*

by Hal Jenks

LISTENING IS POWER

An expert listener has the power of understanding—what another says, means, thinks, and feels.

An expert listener has the power of being valued and trusted. You don't have to watch people interacting for very long before you realize that nearly everyone would rather talk than listen.

A person who is willing to listen provides an important service. Talkers will treasure it and hold in high esteem the person whose behavior says, "You are so important that I will listen to what you say."

The expert listener has the power of influence. When people feel you care enough to listen and that you really understand them, they will give you the power to influence them. What you say and do becomes important to them because you are important.

This kind of listening that makes a person powerful requires a great effort from the listener. He must focus his energy in a powerful way. Power listening, then, refers not only to the power a person acquires but also to the power it requires.

WHAT IS LISTENING?

First of all, listening is not the same as hearing. In the movie *Oh, God!* George Burns, playing the Supreme Being, says, "I can't help hearing you, but I don't always listen." Perhaps it is a little reassuring to know that even the Almighty has not escaped a problem that is almost universal among men.

"Hearing is with the ears, but listening is with the mind," Keith Davis says in his book, *Human Behavior and Work.*

It is active. Dr. Mortimer Adler, philosopher and educator, compares communication—speaking and listening—to playing catch. Both the thrower and the catcher must be actively involved. "When the mind is not actively involved in the process," he says, "it should be called hearing, not listening."

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It is personal. In a way it requires us to get inside the skin of the person speaking. Author Leslie Farver says, "It requires the ability to attend imaginatively to another's language. Actually, in listening we speak the other's words."

It involves more than words. Dr. Thomas Vanville, in his book *How To Listen—How To Be Heard*, says that good listeners hear not only the content of a speaker's message but also the emotion behind it.

Besides emotions, the effective listener attends to what the speaker is not saying and to his intentions. This information is communicated through posture, gestures, and vocal qualities—speed, pitch, inflection, and vocal variety.

To listen in an active and personal manner—attending to words, body language, and vocal cues—demands discipline, concentration, and practice. In short, a person must focus his power to develop the skills of a power listener and acquire the power that goes with those skills. It is such a complex task that it is no wonder that most people do it so poorly.

HOW WE DON'T LISTEN: THE PROBLEM

Consider these numbers. When we are awake we are communicating about 80% of the time. Of that, 45% of the time we are listening.

How well do we remember what we hear? Studies show that 75% of the words that go into our ears are either ignored, misunderstood, or forgotten.

In an organization, the messages that come down from the top get distorted by as much as 80% by the time they reach the rank and file.

Messages that we do hear and understand, we probably won't remember. Tests show that after 48 hours, the average listener remembers only about 25% of the information heard in a 10-minute talk. To put it another way, 75% of what we hear goes in one ear and out the other.

In his book *I Hear You*, Eastwood Atwater talked about how well a college psychology class was able to pay attention. At various times during the course, students were asked to stop and write down what they were thinking about at that particular moment. At the end of the course the teacher analyzed all of their notations. He found that 20% were paying attention, but only 12% of these were actively listening. Of the remaining 80%, 20% were fantasizing, 20% were reminiscing, and 40% were daydreaming, worrying, meditating, or planning what to have for lunch.

WHY WE DON'T LISTEN

There are a number of reasons why we don't listen well. One has to do with our body's communication hardware. The brain is just too fast for the tongue.

Most people speak at about 125 to 140 words per minute. Some announcers and professional speakers can speak comfortably in the 170-to-200-word range.

The ear is able to listen to 400 words per minute or more with a little training.

The brain, that magnificent computer, is able to process information at a rate of 1,000 to 1,400 words per minute.

Because of the difference in these rates, the brain is able to tune in for a fraction of a second and process the words the speaker said and then take a break and tune out before the next series of words arrives. And that is exactly what poor listeners do—they allow their minds to tune out and wander.

Another problem is that most people have very short attention spans. According to a North Carolina University study, most people only actively listen for about 17 seconds at a time.

The reason for this may be that we have grown accustomed to the electronic media's pandering to our laziness by trying to make every fact and option short and simple. The consumer today wants instant everything and is not very patient with preachers, politicians, news commentators, or speakers who expect him to think long and hard.

A third reason for our difficulty as listeners has to do with our education. The amount of training that we received in communication skills is inversely related to how much we use them.

Most of us in our schooling have received the most training in writing; yet, on the average, we write only 9% percent of the time that we are communicating. The second greatest amount of training is in reading, and we use that only 16% of the time. [We receive even less training for speaking than for reading, yet use speaking] 30% of the time. Lastly, very few are trained to listen, and yet we use it 45% of the time we are communicating.

BAD LISTENING HABITS

Listening is a skill, and, to be effective, a person needs to learn the correct techniques and practice them until they become habitual. Most people, however, are untrained and have developed bad listening habits. The most common of these are described next.

Attention fakers These are people who, as you speak, look you straight in the eye and seem to hang on every word. They may even smile and nod in approval of what you are saying. But in reality they are a million miles away. Their mind and attention have gone out to lunch.

Fact gatherers These people are like Sergeant Joe Friday, star of the old radio and television series, *Dragnet*. He used to say, "Give me the facts, ma'am, just the facts." These listeners may understand every word you tell them, but they will miss most of your message because they do not tune in to emotion or intuition, voice qualities or body language.

Criticizers They criticize what you are saying either out loud or in their own minds. As a result they don't receive all of the message because part of their mental energy is diverted to categorize, analyze, and judge your words. They make you feel that you are being judged and not listened to. So even if they understand you perfectly, you leave feeling misunderstood.

Bored listeners They act as if your subject is uninteresting. But G. K. Chesterton said there is no such thing as an uninteresting subject, only uninterested listeners. No matter what the subject, you can, if you choose, develop the capacity to listen with interest.

Difficult material blockers The listeners might be great when you are talking about the weather or last night's TV programs. But if you try to talk about anything that is the least bit difficult to understand, they will turn you off like their television.

Distraction tolerators These people sort their mail, look out the window, wave to passersby, or tap their fingers while you are trying to tell them something. They latch on to any convenient distraction or, finding none, create one.

Note takers They are so busy trying to write down everything you say that they miss most of your message. They haven't learned to abstract from a speech only what is important—an outline, key points, or new information.

Mental rehearsers One of the most common varieties of poor listener is the person who is planning what he is going to say next while you are still speaking. He hears the first part of what you say and fills in the remaining part himself. Then he plans his own response so he'll be ready the minute you finish speaking. What he doesn't understand is that if you don't feel heard, you will not be very receptive to his comments no matter how brilliant they might be.

These are some of the more common bad listening habits. If you find that you have acquired many of them over the years, you may be feeling a little overwhelmed and discouraged. Or you may say, "So what? I've gotten along pretty well so far. And changing would take a lot of time and a lot of hard work. So what's in it for me?"

That's a fair enough question. Actually, there are many reasons why it is in your best interest to become an effective listener.

BENEFITS OF EFFECTIVE LISTENING

There are many ways you will be better off if you learn to become a better listener. Here is a list of nine benefits.

1. You will increase your **knowledge.** You don't learn anything new while you are talking.

2. You will **save time** because you will hear the message the first time, and it won't have to be repeated. You won't find yourself in the embarrassing position of explaining your behavior by saying, "Oh, I thought you said . . . ."

3. You will **reduce your stress**. You will be more centered and focused on the speaker and not pulled in a hundred directions at once.

4. You will **engage in true dialogue**. When you listen and the speaker also listens to you, then you can really understand one another.

5. You will **earn trust**. There is nothing people want so much and receive so little of as someone to listen. If you will value what a person says and really listen to it, you will be trusted.

6. You will **understand**. When you truly listen, you understand not only the words but also the feelings of the person.

7. You will **develop self-esteem**. If you will listen, people will beat a path to your door to speak to you. You will be sought out and valued, and, from that, your self-esteem will increase.

8. You will **become influential**. People tend to give power to those whom they trust and who, they believe, understand them. As you become a better listener, you will have more influence among your friends and coworkers.

9. You will **develop**. If you believe that you grow as a person by helping others, you will find listening invaluable. It is one of the most powerful tools we have for increasing another's self-esteem. Through listening we not only help others feel respected and important but also develop our human potential.

HOW TO LISTEN

By now you may have decided that you would really like to be a more effective listener and that you are willing to spend the time and energy necessary to develop the skill. What do you do next?

Learning to listen effectively is as easy as driving a car. And as hard. If you learned to drive in a car with a stick shift, as I did, you will know what I mean.

One day you found yourself in the driver's seat. On the floor were three pedals for your two feet. Your hands would be occupied with the steering wheel, the gear shift lever, and all manner of buttons and knobs to control the lights, wiper, heater, and radio plus the turn signal indicator and the horn. You had to watch the road in front, two or three mirrors, and various gauges. And you had to do everything at the same time.

The skill of listening effectively is at least as complex. But if you learn the various component behaviors and practice them regularly, before long you will become very proficient. And listening will become as easy as it is for you today to drive an automobile with a manual transmission.

One of the key differences between good listeners and poor ones is what they do with the time between listening. Remember that your brain works much faster than a person can talk (5 to 10 times faster). As a result the brain can process a phrase and take a few seconds off before it has to attend to a new batch of words. A poor listener will use this time to daydream, prepare a rebuttal, or think about something else.

A good listener will replay the words he has just heard to lock them in. He will pay attention to the structure of the speaker's language—to how he is developing his point and where it is likely to go next. He is listening to the nuance of meaning that is conveyed by the tone, volume, and speed of the speaker. He is observing the speaker's gestures, posture, and facial expressions. He will be attending to all of these things in those precious microseconds between the words he is hearing.

An effective listener also pays attention to the language—the vocabulary, figures of speech, grammar, idioms, and clichés. He pays attention not only to what is being said but to what is not being said.

He is aware of himself and of emotions that might, like colored glasses, affect his understanding. He is monitoring how he is staying tuned in to the speaker and indicating with looks, nods, and sounds that he is really listening.

The listener is also noticing the environment that he and the speaker are in and how that is affecting their communications.

Someone observing this listener might say, "He's not doing anything; he's just listening." In reality, the listener is doing many things with concentration, discipline, responsiveness, and interest.

That's a tall order. It's not surprising that most people don't listen very well.

But, on the other hand, there is nothing that a listener does that is especially difficult. Just as in driving a car, there are many easy things to do at once.

So if you want to become a more effective listener, one of the first things you have to do is recognize your own listening practices. As Yogi Berra, former New York Yankee and philosopher, said, "You can see a lot by just observing."

The second thing to do is learn the techniques for effective listening. The last thing is to practice, practice, practice. Let's look next at some of the techniques of an effective listener.

Six basic techniques

In his book *Listening Made Easy,* Robert Montgomery describes six basic techniques that form the acronym **LADDER**. Let's examine these first.

☐ **Look** at the person you are speaking to and maintain contact.

☐ **Ask questions** when you do not understand but also to enlarge on the speaker's ideas and to show your interest.

☐ **Don't interrupt**. Allow the speaker to express his ideas without interruption. When he finishes, pause a moment before responding.

☐ **Don't change the subject**. If you intend to be a good listener, you must be sensitive to the speaker's agenda.

☐ Be aware of your **emotions** as you listen. Don't react so strongly to the speaker's message, voice, or appearance that you are unable to appreciate what he is saying. Be aware of the speaker's emotionally charged words. If you react emotionally to such words, you may develop listening "dead spots" and miss the speaker's meaning.

☐ When you **respond** to the listener by using your body—eyes, voice, gestures, posture—you show empathy and understanding. You show the speaker you are listening when you make eye contact. You nod your head when you agree, wrinkle your brow when you question. You smile when amused, frown when disappointed, and raise your eyebrow when surprised. By using this kind of body language, you are forced to stay tuned in to the speaker. And this tells him that you value what he says and respect him.

Advanced techniques

In addition to the **LADDER** techniques, there are many others you can use to become a better listener. Once you have mastered the basics, you can move on to these **advanced techniques.**

☐ **Reflect** the information that you have heard, either by parroting it word for word or for paraphrasing it. When a command is given in the military, a subordinate will repeat back exactly what he heard. This is an effective way of making sure that the message has been received as sent. Another way is to say back in your own words what it is you heard, checking to make sure that you got the message right.

☐ **Concentrate.** A major contributor to poor listening is the habit of breaking into a speaker's talk with your own dissenting thoughts. Scott Witt, in his book *How To Be Twice as Smart*, points out, "If you argue with what is being said (even if the arguments are mental and kept to yourself), you will be blocking out a good deal of information, some of which could be valuable." Concentration and ability to focus attention are the keys to selective listening. Meditation is one way to improve both concentration and selective listening. Relaxation techniques and hypnosis also work well to develop this skill.

☐ In the lag time between mental activity and speaking time, **repeat in your mind** what it is the speaker has just said.

☐ Listen to what the individual says **without passing judgment**. It is only when you can hear what is being said and the speaker perceives you hear him without judgment that you can hope to influence.

☐ By identifying the **structure** of the speaker's remarks, you will find it easier to understand and follow. This is especially true if you are listening to a formal speech. Although a speech can be arranged in many ways, speakers usually lay out their ideas according to a basic pattern of organization.

☐ Listen for both the content and **intent.** Notice the facial expression and body language of the speaker. Listen to the tone of voice, volume, and speed. Listen to what is said and interpret what is meant. By listening between the lines, you can sometimes understand the intent of the speaker.

☐ Look for **congruence** between what you hear and what you see. Words are accompanied by changing tones and volumes of voice, fluctuating facial expressions, hand gestures, and body movements. Body language may reinforce or contradict the speaker's words. When body language is not congruent with the words, you can be fairly certain that you are being deceived and that the nonverbal communications are the real message.

☐ Do not take excessive notes so as to be distracted from what the speaker is saying. But sometimes by making **notes that are brief**, you indicate you believe what the speaker is saying is important.

☐ Look for what is **unique**, both in the message and in the way it is being delivered. With practice, you can become very sensitive to nuances or difference. As a child, I attended a Catholic elementary school in which most of the teachers were nuns. At that time they all wore special clothing called "habits" and all looked alike. However, as the year went on, we were able to identify a nun from the back down at the end of the corridor because we had become so sensitive to the difference in size and shape. A similar sensitivity can help us not only to hear more of what a speaker is saying but also to appreciate it at new levels.

This is not an exhaustive list of the techniques that make up effective listening. But it does provide a good foundation.

PRACTICE

The last step in the process of developing into an effective listener is to select the techniques that are most valuable to you and begin to practice them. This is easier said than done.

Despite your intentions and determination, once you return home from this seminar, it is all too easy to forget your resolve and return to familiar listening habits.

What you need to do is develop a daily plan for practicing listening techniques. Practice sessions can be very brief—a minute or less. Select a technique you want to work on and schedule times each day to practice. It might be easiest to do it before meals, at the start of meetings, or at break time. The important thing is to practice regularly. Make it a part of your routine, and soon it will be a habit.

In a short time you will find yourself becoming skilled in one technique and you will automatically integrate it into your listening behavior. Then it will be time to move on to a new technique. In no time you will discover that you are listening much more effectively. You will have more personal power, self-esteem, competence, and influence.

An Italian proverb tells us that "From listening comes wisdom, and from speaking, repentance."

As you master the techniques, you will join the minority of effective listeners and experience a new wisdom.

You will experience the kind of appreciation expressed by Henry David Thoreau when he said that the greatest compliment he ever received was when someone asked him what he thought and then sincerely listened.

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INTERPERSONAL SKILLS 5

Becoming a Better Listener

Description In an intensive session, participants engage in a series of exercises to practice seven components of CORRECT listening: concentrating, observing, responding, reflecting, eliciting, controlling interruptions, and taking advantage of lag time.

Recommendation: The exercise *How Well Do I Listen?* should precede this exercise so that participants will have had an opportunity to identify their negative listening behaviors.

Performance objectives To describe seven techniques for effective listening and

To practice each of the techniques.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
210 minutes total	Materials	For each participant, a copy of ☐ How To CORRECT Bad Listening Habits (Handout 1, page 75)*
	Flipcharts	The trainer may wish to prepare the suggested flipchart, indicated by the ✏ symbol, before the workshop.
15 minutes	**Introduction**	☛ If the group has not used the exercise *How Well Do I Listen?*, you may wish to incorporate some of its introductory material in this introduction.*
	Nine benefits of listening	✏ If the group *has* used *How Well Do I Listen?*, review on a flipchart the nine benefits of effective listening (from the Power Listening article*): 1. increase knowledge 2. save time 3. reduce stress 4. engage in true dialogue 5. earn trust 6. understand 7. develop self-esteem 8. become influential 9. develop personally, while developing others' self-esteem

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* If the group has not done the previous exercise, *How Well Do I Listen?*, you may also wish to reproduce that exercise's Handout 1, the article "Power Listening: All You Need To Be an Effective Listener," to distribute at the end of the session. The handout appears on pp. 53–62 of this module.

CORRECTing bad listening habits

☛ Distribute a copy of Handout 1, How To CORRECT Bad Listening Habits, to each participant. Note that it contains seven basic techniques to help correct bad listening habits. The acronym CORRECT will help participants remember the techniques. Review the seven techniques:

Concentrate on what is being said—content and intent.

Observe facial expression and body language.

Respond by using your eyes, voice, gestures, and posture to communicate empathy and understanding.

Reflect the information you hear by repeating or paraphrasing it.

Elicit more information by asking questions.

Control the desire to interrupt, pass judgment, or change the subject.

Take advantage of the lag time between mental activity and speaking time to notice the speaker's language, nuances, and body language.

Purpose of this workshop session

☛ Tell the group that, in this workshop session, they are going to get an opportunity to learn and to try each technique. Remind them that it will be up to them to *practice* later, on their own. Only by practicing the techniques consistently can they improve listening habits.

20 minutes

An exercise in concentrating

☛ Ask participants to make themselves as comfortable as possible, with hands on their laps and legs uncrossed. Tell them that they will be doing a relaxation exercise to heighten their concentration. Ask them to close their eyes and listen carefully as you lead them in relaxing themselves:

“ 1. Concentrate on your feet and ankles. Become aware of any muscle tension there. Allow the tension to flow out.
2. Focus on your legs. Notice any muscle tension there. Allow the tension to flow out.
3. Move up to your torso. Relax your stomach, your chest. Breathe slowly and deeply. How about your arms? Tense and release your right arm. Tense and release your left arm.
4. Be aware of your back, the small of your back, your upper back, and your shoulders, which will hold a lot of your tension. Relax your back, your shoulders. Pay attention to your neck: Is it tight? Roll your head gently forward, gently to one side, gently to the other. Release the tension in your neck.
5. Tension often resides in your face. Examine your face from the inside out for tension and relax it away. Are you frowning? Is your forehead relaxed? Your eyes? Jaw? Mouth? Chin?
6. Now concentrate only on your breathing— each inhalation, each exhalation. If other thoughts come to mind, observe them but don't get hooked into them. Focus on inhaling, exhaling, inhaling, exhaling . . . .
7. I'm going to ask you to stay in this state for 5 minutes. Concentrate on your breathing. Inhaling, exhaling. Concentrate on your breathing. I'll tell you when 5 minutes are up.

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☛ When 5 minutes have elapsed, resume the instructions quietly:

“ Take three deep breaths. Get in touch with your legs and arms. Open your eyes whenever you are ready.

Reactions to the exercise

☛ Ask participants for their reactions to the exercise:

> *What was it like to be in a relaxed state, trying to concentrate on your breathing?*
>
> *For what portion of the 5 minutes were you able to maintain concentration on the inhalations and exhalations of your breath?*

Further practice

☛ Tell participants that practicing this or any similar relaxation exercise will steadily improve their concentration. They can then apply this improved concentration to listening situations to help correct bad listening habits.

20 minutes

An exercise in observing

☛ Ask participants to **pair up** with a person sitting next to them. Tell them that one partner in the pair is to spend 3 minutes observing the other person, silently noting as many details about the individual's appearance and body language as possible.

When 3 minutes have elapsed, ask that each "observer" close his or her eyes and describe from memory as many details as possible in 2 minutes about the observed person's appearance and body language. Emphasize that observers are *not to interpret* what they saw, only to describe it.

When the 2-minute descriptions are completed, ask those who were being observed to take a minute to point out to their observers which details were described accurately and which were not.

Ask partners to reverse roles, and repeat the process—3 minutes of observation, a 2-minute description with eyes closed, 1 minute for an accuracy check.

Reactions to the exercise

☛ Ask participants for their reactions to the exercise. For example:

> *How easy was it to observe another closely?*
>
> *How accurate were your observations?*
>
> *How free from interpretation were the descriptions of what was observed?*

Further practice

☛ Suggest that practicing this observation or any similar exercise with a friend will improve observation skills, which in turn will help improve attention to a speaker's intent rather than to just his or her content. Looking for *congruence* between what you hear and what you see will help ensure that you have understood the communication accurately.

20 minutes **An exercise in responding**

☛ Ask participants to form groups of three (**triads**). Tell them that each member of the triad will take turns playing the roles of speaker, listener, and observer, as follows:

The **speaker's** role is to describe in 3 minutes an incident in his or her life in which he or she learned a very important lesson.

The **listener's** role is to respond to the speaker by using physical cues—eye movements, voice, gestures, posture—to show understanding and empathy.

The **observer's** role is twofold:

- to observe the communication silently, paying special attention to the way the listener indicates understanding of and empathy with the speaker by using his or her eyes, voice, gestures, and posture, and
- to observe how the speaker is affected by the listener's responsiveness.

Each 3-minute account will be followed by a 3-minute discussion of what the observer saw and what the speaker felt about the listener's responsiveness.

Tell participants that you will give 3-minute signals to begin discussions and new listening sessions.

Reactions to the exercise

☛ When each member of the triad has had a chance to play each role, ask participants for their reactions to the exercise, including:

Was it difficult to have to focus on your own responsiveness?

Were any of you surprised by the observations of the observers and speakers?

Further practice

☛ Suggest that participants' listening habits can benefit from practicing responsive behaviors with a friend or asking a friend to observe them in a listening role.

35 minutes

An exercise in reflecting

☛ Ask participants to remain in their **triads**. As in the preceding exercise, each person will take a turn playing the roles of speaker, listener, and observer.

The **speaker's** role is to describe in detail, in 3 minutes, a complex work-related problem and how he or she set about to solve it.

The **listener's** role is to listen attentively and, upon completion of the description, to repeat in his or her own words what he or she heard, checking to make sure that he or she got the message right.

The **observer's** role is to listen attentively to the speaker's description and to assess the degree to which the listener accurately paraphrased the message.

Each round will thus consist of a 3-minute description, a 2-minute paraphrase, and a 3-minute discussion in which the observer and speaker discuss with the listener the accuracy of the paraphrase.

Reactions to the exercise

☛ When each triad member has had a chance to play each role, ask participants for their reactions to the exercise, including:

How easy was it to paraphrase the description of a complex problem?

What is the benefit of using your own language in reflecting information?

How accurately did the observer interpret what the speaker was saying?

Further practice

☛ Suggest that this exercise can be practiced with a friend as well as used in any listening situation in which it is important that the listener be clear about the meaning of the message.

30 minutes

An exercise in eliciting information

☛ Ask participants to remain in their **triads**. As in the preceding exercises, each person will take a turn playing the roles of speaker, listener, and observer.

The **speaker's** role is to share, in 4 minutes, a strongly held belief and to provide reasons for believing as he or she does.

The **listener's** role is to listen attentively and to ask at least three questions, seeking more information or clarification in order to understand as completely as possible the speaker's belief and the reasons for his or her strong feelings.

The **observer's** role is to judge whether the questions encourage the speaker to give more information or make the speaker feel defensive.

Each round will consist of a 4-minute segment, in which the speaker shares his or her strongly held belief and the listener asks at least three questions to elicit more information, and a 3-minute segment, in which the observer and the speaker share their impressions of the effect of the questions on the speaker.

Reactions to the exercise

☛ Ask participants for their reactions to the exercise, including:

> *How easy was it to ask a question without revealing your personal opinion about the speaker's belief?*
>
> *Did any of the listeners find the speakers growing defensive?*
>
> *Can questions be phrased to minimize to possibility of creating defensiveness in the speaker?*

---

35 minutes

An exercise in controlling the desire to interrupt

☛Ask **half of the group** to form a circle or sit at a round table in the center of the room and the other half to form an outer circle. (If the total number in the group exceeds 20, form more than one inner and outer circle.)

The role of the **inner circle** is to carry on an 8-minute discussion to determine the best way to motivate employees to do a good job.

The role of the **outer circle** is to observe silently the number of times someone in the inner circle

- is interrupted,
- is shot down, or
- changes the subject.

Each discussion will be followed by a 5-minute report by members of the outer circle on what they have observed.

After participants report out, the inner and outer circles will change places, and the process will be repeated.

Reactions to the exercise

☛Ask participants for their reactions to the exercise, including:

> *How many times did you want to interrupt, judge, or change the subject, even though you refrained?*
>
> *Did your attempts to control these desires help you listen more attentively?*

Further practice

☛Suggest that, by observing their group interact, participants can recognize how frequently interruptions, summary judgments, and subject changes occur. Observing the negative effect of these behaviors on the group's effectiveness should reinforce any group member's desire for improving listening skills.

25 minutes

An exercise in taking advantage of lag time

☛ Ask participants to **pair up**. Ask that each take a turn sharing with his or her partner a 5-minute account of his or her reaction to this series of listening exercises.

During these accounts, the listener will take advantage of the brief seconds available between word clusters, between their mental activity and the speaking time, to focus on:

- the structure of the speaker's language, that is, how he or she is developing the point and where it is likely to go next,
- the nuances of meaning conveyed by voice, volume, and speed, and
- the speaker's gestures, posture, and facial expression.

The second speaker is to begin as soon as the first speaker has finished.

When the second speaker has finished, ask that each pair spend 10 minutes discussing these speaking and listening experiences with one another, focusing on:

- their abilities as listeners to attend to language structure and nuances conveyed by voice and body and
- the effects of the efforts to focus on the speaker's experience of being listened to.

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10 minutes

Conclusion: Importance of practice

☛ Ask if any of the participants would like to share their reactions to the listening exercises with the total group.

Note that the acronym CORRECT can help them to remember the seven techniques practiced in the workshop. Stress the need to practice these seven techniques regularly.

Note further that setting aside a couple of minutes a day to practice one of the techniques can result in improved facility in that technique. With continued practice, participants can soon acquire all of the skills that are components of effective listening behavior.

Finally, note that mastering these listening techniques will place participants in that *privileged minority* of people valued for listening behavior that shows that they value others.

HANDOUT 1

Becoming a Better Listener

HOW TO CORRECT BAD LISTENING HABITS

Concentrate on what is being said—content and intent.

Observe facial expression and body language.

Respond by using your eyes, voice, gestures, and posture to communicate empathy and understanding.

Reflect the information you hear by repeating or paraphrasing it.

Elicit more information by asking questions.

Control the desire to interrupt, pass judgment, or change the subject.

Take advantage of the lag time between mental activity and speaking time to notice the speaker's language, nuances, and body language.

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INTERPERSONAL SKILLS 6

Resistance: A Role Play

Description Participants engage in a role play that lets them experience the effects of two different approaches to dealing with resistance. They rate the effectiveness of each approach on a simple scale and develop a list of techniques for dealing with resistance effectively.

Performance objective To describe several effective techniques for dealing with resistance.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
90 minutes total	Materials	For each working group of 5–9 people: ☐ 1 copy of Role Sheet: Team Member (Handout 1, page 85) for each member not playing a vice president ☐ 1 copy of Role Sheet: Vice President A (Handout 2, page 87) ☐ 1 copy of Role Sheet: Vice President B (Handout 3, page 89) ☐ 2 copies per group member of Resistance Rating Sheet (Handout 4, page 91)
	Flipcharts	The trainer may wish to transfer the Resistance Data Analysis Chart (Trainer's Resource 1, page 83) and one other flipchart (indicated by the ✏ symbol) to flipchart paper before the workshop session begins.
10 minutes	**A positive approach to resistance**	☛ Begin this exercise with the following suggested remarks on a positive approach to resistance:
	Definition of resistance	❝ Power is the ability to get all you want from the environment, given what's available. Resistance is the ability to avoid what is not wanted from the environment. It is an expression of power in *not* getting what you do *not* want.

Adapted from "Resistance: A Role Play," by H.B. Karp, in *A Handbook of Structured Experiences for Human Relations Training, v. 8,* ed. J. William Pfeiffer and John E. Jones (San Diego, 1981), pp. 75–82, with the permission of University Associates, Inc.

Negative vs. positive approaches

❝ Resistance should be viewed as a positive asset rather than as a negative block that needs to be destroyed.

✏ Review the following options for dealing with resistance positively and negatively, writing key points on the flipchart:

❝ In dealing with resistance, we can either handle it **negatively** and try to:

- Break it down by threatening, coercing, selling, or reasoning.
- Avoid it by deflecting it, "not hearing" it, inflicting guilt.
- Minimize it by appealing to tradition or unanimity.

or handle it **positively** and try to:

- Surface it by asking for it and making it safe to express.
- Honor it by listening, not discounting it, and acknowledging it.
- Explore it by having the resister be specific and by asking for his or her preference.
- Recheck it by seeing where the resister now stands on the issue and deciding what will be done and what support and specific behaviors are expected.

Benefits of the positive approach

❝ The positive approach to dealing with resistance is time-consuming and requires good listening skills and a great deal of patience. However, the payoff is that *working with* resisters, rather than fighting them off, allows them to become participants in whatever change you are initiating.

10 minutes	**Setting up the role play**	☛ Tell participants that they will now explore these concepts in a role play that will allow them to experience and compare the effects of these two approaches to dealing with resistance. Divide the participants into working groups of 5–9 people, and ask that each group designate a member to play vice president A and another member to play vice president B.
	Briefing team members	☛ Give a copy of Handout 1, Role Sheet: Team Member, and two copies of Handout 4, the Resistance Rating Sheet, to each team member *except* for the two playing the vice presidents in each working group. Ask the team members to take 10 minutes to review the materials (while you coach the vice presidents).
	Coaching the vice presidents	☛ Give a copy of Handout 2 to each person playing vice president A and a copy of Handout 3 to each person playing vice president B. While the other group members are reading their materials, take the vice presidents aside to coach them on their roles and clarify any questions they may have.

40 minutes	**Team meetings**	☛ Ask the vice presidents to join their groups.
	Session A	☛ Ask those role playing vice president A to begin their 15-minute meetings, trying to convince their groups of their position. Those who will role play vice president B should act as observers, but they will not fill out a rating sheet. When 15 minutes have elapsed, ask that team members circle the letter "A" at the top of one copy of the Resistance Rating Sheet and fill out the form.
	Session B	☛ Ask those role playing vice president B to begin their 15-minute meetings, trying to convince their groups to accept their position. When 15 minutes have elapsed, ask that team members circle the letter "B" at the top of their second copy of the Resistance Rating Sheet and fill out the form.

30 minutes **Processing the exercise**

☛ Ask the team members and those role playing the vice presidents to share their thoughts and feelings about the activity within their groups. Allow 10–15 minutes for this discussion.

Analyzing the data

☛ Ask each group to calculate the average score for each question on the two rating sheets.

✏ Post the results on the flipchart copy of the Resistance Data Analysis Chart (copied from Trainer's Resource 1).

Member reactions

☛ Lead the total group in discussing and comparing members' reactions to the experience as evidenced in the rating sheets:

What are the differences on the Resistance Data Analysis Chart between vice presidents A and B?

Are there consistent differences for vice presidents A and B across groups? What might those differences mean?

Can you point to specific examples of techniques from the role play for dealing positively with resistance?

Look for participant examples that illustrate the following techniques introduced earlier in the session:

- State publicly that you want to hear the resistance, that it is important to you.
- Listen carefully, for you are getting information about what you want.
- Acknowledge—through eye contact and an occasional restatement of a point made by the resister—that he or she has been heard.
- Ask the resister for specific and concrete information.
- Ask the resister for his or her own preference.
- Recheck where the resister stands once his or her resistance has been thoroughly explored.

TRAINER'S RESOURCE 1

Resistance: A Role Play

RESISTANCE DATA ANALYSIS CHART*

Question	Vice president	Group 1	Group 2	Group 3
	A			
1	B			
	Change			
	A			
2	B			
	Change			
	A			
3	B			
	Change			
	A			
4	B			
	Change			

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* Reproduced from "Resistance: A Role Play," by H.B. Karp, in *A Handbook of Structured Experiences for Human Relations Training, v. 8,* ed. J. William Pfeiffer and John E. Jones (San Diego, 1981), p. 82, with the permission of University Associates, Inc.

HANDOUT 1

Resistance: A Role Play

ROLE SHEET: TEAM MEMBER*

You are an experienced manager and have been a department head in this company for 4 years. You take pride in your ability to get things done in your own way, and the company has recognized this with the rapid promotions and pay increases that you have received.

Recently you have been aware of increasing unrest on the part of the younger workers and supervisors in the organization. In your opinion, if other department heads acted more directly and independently with their subordinates, this kind of problem would be minimized.

About 10 days ago, you received a memo from the executive vice president, to whom you report, in which he detailed his reactions to an exciting seminar he attended on team building. He has decided that the top level of management should be recognized and trained to begin functioning as a management team. The memo identified the managers included in this organization, and you are one of them.

You are not happy about this designation since you are not, and never have been, a believer in the team approach. You think that team building is a waste of time and is just a way for ineffective managers to cover up their incompetence and avoid taking responsibility for their own mistakes. You have friends in other organizations who work this way, and they report problems with it. You know that it will take a lot of extra time and effort to set this team business in motion. Besides, you do not feel comfortable in suggesting things to other managers in their areas of expertise, and you do not want some outsider telling you how to run your department. Furthermore, you do not like, respect, or trust some of the others who will be on the team and would prefer not to work closely with them.

The vice president has scheduled the first meeting with the team in 10 minutes. You plan to deal with this issue at the outset.

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* Reproduced from "Resistance: A Role Play," by H.B. Karp, in *A Handbook of Structured Experiences for Human Relations Training, v. 8,* ed. J. William Pfeiffer and John E. Jones (San Diego, 1981), p. 78, with the permission of University Associates, Inc.

HANDOUT 2

Resistance: A Role Play

ROLE SHEET: VICE PRESIDENT A*

You have recently been promoted to executive vice president for internal affairs of a large company. For some time, you have felt that management team building throughout the entire organization would produce tremendous results. You recently attended a seminar on team building and are convinced that the sooner a move is made in this direction, the better.

As you see it, the main advantages of team building are:

1. Work can be divided to take advantage of the different skills of the team members.
2. It will provide a support system for managers, who are currently isolated in their own departments.
3. Managers will stimulate each other's thinking, thus becoming more creative.
4. It will create the flexibility that is needed to deal with a variety of problems.
5. It will provide the base for project management, should that be indicated.
6. In other companies that you know of, it has led to significant changes in corporate policy that were not otherwise easy to achieve.

You have informed the management team of your intention, and today you are going to meet the managers for the first time as a team. You have a lot riding on this move, not only in terms of what is best for the company but also because this is your first major decision in your new position. You have heard through the grapevine that there is a good bit of grumbling about this change. Your managers are sharp, effective people, but they are used to working almost totally independently. You expect to meet some stiff resistance at this meeting.

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* Reproduced from "Resistance: A Role Play," by H.B. Karp, in *A Handbook of Structured Experiences for Human Relations Training, v. 8,* ed. J. William Pfeiffer and John E. Jones (San Diego, 1981), p. 80, with the permission of University Associates, Inc.

Your Approach to the Team's Resistance

You are to do your best to influence as many team members as you can to accept the concept of team building. Your goal is to break down or work around the resistance that the managers will offer.

In addition to making points that appeal to professional pride, feel free to influence the managers with:

1. Facts and figures
2. An appeal to loyalty and fair play
3. Your own power and status
4. Guilt
5. Self-interests and benefits

Use any other methods that fit for *you*. Keep in mind that it would be very helpful to get most if not all of the managers "on board" at this meeting, since this is the most prestigious group in the company. If you can get them to join you, it will influence others who are ambivalent or negative to the approach.

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HANDOUT 3

Resistance: A Role Play

ROLE SHEET: VICE PRESIDENT B*

You have recently been promoted to executive vice president for internal affairs of a large company. For some time, you have felt that management team building throughout the entire organization would produce tremendous results. You recently attended a seminar on team building and are convinced that the sooner a move is made in this direction, the better.

As you see it, the main advantages of team building are:

1. Work can be divided to take advantage of the different skills of the team members.
2. It will provide a support system for managers, who are currently isolated in their own departments.
3. Managers will stimulate each other's thinking, thus becoming more creative.
4. It will create the flexibility that is needed to deal with a variety of problems.
5. It will provide the base for project management, should that be indicated.
6. In other companies that you know of, it has led to significant changes in corporate policy that were not otherwise easy to achieve.

You have informed the management team of your intention, and today you are going to meet the managers for the first time as a team. You have a lot riding on this move, not only in terms of what is best for the company but also because this is your first major decision in your new position. You have heard through the grapevine that there is a good bit of grumbling about this change. Your managers are sharp, effective people, but they are used to working almost totally independently. You expect to meet some stiff resistance at this meeting.

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* Reproduced from "Resistance: A Role Play," by H.B. Karp, in *A Handbook of Structured Experiences for Human Relations Training, v. 8,* ed. J. William Pfeiffer and John E. Jones (San Diego, 1981), p. 81, with the permission of University Associates, Inc.

Your Approach to the Team's Resistance

Your main aim in this session is to help the managers to express all of their reservations. Try to elicit the most frank statements you can from each manager.

Give arguments in favor of team building only when the managers directly and specifically ask for them. Furthermore, do not talk about any future action steps until you are convinced that the managers have expressed all of their objections and negative feelings.

While it would be very nice if you could get agreement and clear support in this first meeting, you realize that the likelihood of that happening is rather small. If the resistance you anticipate cannot honestly be reduced to a workable level, you are much better off leaving things as they are for now. The very last thing you want or need is a lot of "yes sirs/maams " now and no support once you have made the changes. So, while you maintain your opinion, you realize that it is better not to force the issue.

HANDOUT 4

Resistance: A Role Play

RESISTANCE RATING SHEET*

Vice President A B
(circle the appropriate letter)

Having just left the first meeting of the new management team, please indicate your impressions of the team and the vice president on the sheet below.

1. To what extent do you trust the vice president as your team's leader?

1 2 3 4 5 6 7

Not at all — To a great extent

2. How do you feel now about working with the other team members?

1 2 3 4 5 6 7

Uncooperative — Cooperative

3. To what extent, if any, has your attitude toward team building changed?

1 2 3 4 5 6 7

More resistant — More receptive

4. How willing are you to give the team appoach a chance—say, for 6 months?

1 2 3 4 5 6 7

Totally resistant — Very willing

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* Reproduced from "Resistance: A Role Play," by H.B. Karp, in *A Handbook of Structured Experiences for Human Relations Training, v. 8,* ed. J. William Pfeiffer and John E. Jones (San Diego, 1981), p. 79, with the permission of University Associates, Inc.

INTERPERSONAL SKILLS 7

Conflict-Management Style

Description Participants use the Thomas–Kilmann Conflict Mode Instrument[*] to determine their individual styles in handling conflict.

Performance objectives To describe personal behavior in conflict situations and

To describe several alternative approaches to managing conflict.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
60 minutes total	Materials	☐ a flipchart and markers For each participant, a copy of ☐ Thomas–Kilmann Conflict Mode Instrument[*]
	Flipchart	The trainer may wish to prepare the suggested flipchart, indicated by the ✏ symbol, before the workshop session.
15 minutes	**Completing the survey**	☛ Distribute a Thomas–Kilmann Conflict Mode Instrument to each participant. Ask participants to read the instructions on page 1 of the instrument and to complete the questionnaire.
	Scoring	☛ When they have finished the questionnaire, ask participants to break the seal, score their questionnaires, and chart their results on page 6 of the instrument.

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[*] Thomas, Kenneth W., and Kilmann, Ralph H. Tuxedo, N.Y.: Xicom, Inc., 1974. The Thomas–Kilmann Conflict Mode Instrument is one example of an instrument that can provide group members with a common language for describing, understanding, accepting, and integrating members' different styles or approaches to a situation. This exercise provides a suggested model for working with participants to apply the information gained from such an instrument in making their group more effective. Two other instuments which can be used to measure style in managing conflict are Porter, E.H., The Strength Deployment Inventory (Pacific Palisades, Calif.: Personal Strengths Assessment Service, 1973) and Robert, Marc, Conflict-Management Style Survey in *The 1982 Annual for Facilitators, Trainers, and Consultants* (San Diego: University Asociates, Inc.) pp. 81–88.

best copy available

40 minutes **The Conflict–Management Model**

✏ Draw on the flipchart the two-dimensional model on page 9 of the instrument. Give an overview of the model as follows:

“ Conflict occurs when one party to an interaction *perceives* that another party has frustrated, or is about to frustrate, one of the first party's needs or concerns.

The ability to cope with conflict is one of the most important social skills a person can acquire.

Most people have just "fallen into" their styles for coping with conflict. They may even have developed preferred styles.

The conflict-management model developed by Kenneth Thomas is a useful framework for exploring the possible conflict-management styles, determining when to use them, and identifying the consequences of using a particular style too much or too little.

Two dimensions

“ As the model on the flipchart indicates, the behaviors of each party in a conflict situation are described along two behavioral dimensions:

1. assertiveness, or the extent to which the individual tries to satisfy his or her own concerns, and
2. cooperativeness, or the extent to which the individual tries to satisfy the other person's concerns.

Five styles

“ These two dimensions define five distinct styles of coping with conflict:

- competition
- collaboration
- compromise
- avoidance
- accommodation

Characteristics of the styles

☛ Tell participants that you are going to examine each of the five styles as it relates to the dimensions of assertiveness and cooperativeness.

Ask participants to describe the characteristics they would expect to find in each of the five styles, based on where those styles appear on the assertiveness and cooperativeness dimensions.

Then refer participants to the descriptions of the five styles on page 10 of the instrument to check their conclusions.

Emphasize that

- There are no universal right answers in conflict-handling behavior, and
- All five conflict styles are useful in some situations and represent a set of useful social skills.

When to use a style

☛ Ask participants, without referring to the instrument, to identify when it might be appropriate to use each of the five styles.

✏ Record their ideas on the flipchart.

☛ When their brainstorming is over, ask participants to look at the uses of each style identified in the instrument on pages 11–16.

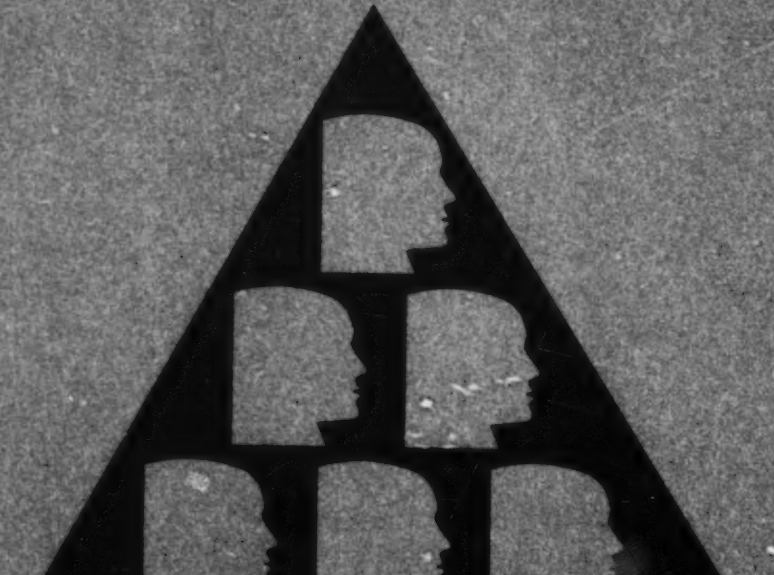
Ask participants to reflect on how appropriately they use the five conflict styles in their own situations. Do they overuse some styles and underuse others?

To help them in their reflections, refer them to the diagnostic questions beginning on page 12 of the instrument.

5 minutes	**Conclusion: Developing other styles**	☛ Ask for comments or questions about the model or about individual results. Reemphasize that there is nothing inherently right or wrong about any of the conflict styles. Each may be more or less effective, depending upon the situation. Emphasize that group members need to develop the skills to execute any of the styles so that they can be more purposeful in choosing approaches to resolving conflict.

Module 8

Group Dynamics and Shared Leadership



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Bureau of Labor–Management Relations
and Cooperative Programs

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Introduction

This module in the *Committee Effectiveness Training (CET)* series contains nine exercises designed to provide group members with the skills and knowledge they need to recognize their group's dynamics and to share leadership within the group.

Please refer to the *Guidebook for the Trainer* for general information on the *CET* series, on doing a needs assessment, and on designing a workshop.

To help you select exercises to meet the needs of workshop participants, see the sections called General Considerations for the Trainer, Recommendations for Selecting Exercises, and Exercise Summaries in the pages that follow.

GENERAL CONSIDERATIONS FOR THE TRAINER

In developing a workshop to improve a group's ability to understand its dynamics and to share leadership, the trainer will consider several questions:

- Which exercises from the other seven *Committee Effectiveness Training (CET)* modules will also be used to meet the training needs of the group?
- How much time is available to deliver a workshop? Will there be more time available soon to deliver additional components of the *CET* series?
- Does the response to statement **8**, **16**, **24**, or **32** on the Needs Assessment Questionnaire indicate an acute need for a particular exercise? (See the **Indicator** listed under each exercise summary.)

RECOMMENDATIONS FOR SELECTING EXERCISES

With the group's needs and constraints in mind, the trainer should also consider the following recommendations when choosing exercises:

- The first three exercises provide a basic understanding of both positive and negative behaviors in a group and of the task and maintenance roles that emerge in a group.
- *My Experience with Groups* is an effective opening exercise for a workshop, following the icebreaker and introduction. It allows a group to "let off steam" about past negative group experiences. Balance it with *Positive Group Behaviors Identified* later in the workshop.
- *Seven Pieces: Identifying Group Roles* can be used in place of the pair of exercises above. It is a high-energy activity that helps participants recognize the importance of both task and maintenance roles to effective group work.
- *Team Climate Survey* will help a group assess its working climate. *A Monument to the 21st Century* will help the group determine its current stage of development. Use either one, but not both, in the workshop.
- *Choose Me: Developing Power within a Group* allows individuals and the group to examine their concepts of power and influence.
- *Circle in the Square* demonstrates the negative effects of competition within a group and underscores the advantages of collaboration.
- *Practicing Facilitative Leadership: Parts 1 and 2* provide participants with opportunities to practice and to be critiqued as the designated facilitator of a group and as a group member taking initiative in facilitating. Either or both parts may be used in a workshop. Note the prerequisite.

EXERCISE SUMMARIES

1 *My Experience with Groups*, 45 minutes

Description	Participants identify behaviors they have encountered in their previous group work that have impeded group effectiveness. *Recommendation:* Use in conjunction with *Positive Group Behaviors Identified*. However, *Positive Behaviors* should *not* immediately follow *My Experience.* The two exercises work well as "bookends" for a daylong session, with *My Experience* used at the beginning of the day and *Positive Behaviors* at the end.
Performance objective	To identify several negative behaviors that impede group effectiveness.
Indicator	A low score on question 8 or 16 on the Needs Assessment Questionnaire.

2 *Positive Group Behaviors Identified*, 60–80 minutes, depending on group experience

Description	Participants list behaviors that have contributed to team effectiveness and examine those behaviors as examples of the task and maintenance functions their group requires. *Recommendation:* This exercise provides a useful contrast to *My Experience with Groups* but should *not* immediately follow it. See recommendation under exercise 1 above.
Performance objectives	To identify several behaviors that contribute to group outcomes and To differentiate between group task and maintenance functions.
Indicator	A low score on question 8, 16, or 24 on the Needs Assessment Questionnaire.

3 *Seven Pieces: Identifying Group Roles*, 60 minutes

Description	Participants work in a group to solve a puzzle without instructions. Based on that experience, they identify the roles group members assumed and discuss the effects of these and other possible roles on their group process.
Performance objective	To describe several of the task- and maintenance-related roles that emerge in a group.
Indicator	A low score on question 8, 16, or 24 on the Needs Assessment Questionnaire.

4 *Team Climate Survey*, 60 minutes

Description	Participants use a brief survey to rate the working climate of their workplace group on eight qualities. They prepare an action plan for improving that climate.
Performance objectives	To describe several key dimensions of effective teamwork, To use these dimensions to describe the climate of the group, and To list several specific steps for improving the group's teamwork.
Indicator	A low score on question 16 on the Needs Assessment Questionnaire.

5 *A Monument to the 21st Century*, 110 minutes

Description	Based on interactions around building a loc-block "monument," participants examine group behaviors and determine their group's current stage of development.
Performance objectives	To describe four stages of team development and To describe several behaviors that reflect the group's current stage of development.
Indicator	A low score on question 16 on the Needs Assessment Questionnaire.

6 *Choose Me: Developing Power within a Group*, 120 minutes

Description	Participants attempt to exercise power and influence within the group by nominating themselves for a leadership role. They exchange feedback on their efforts and examine the way their group responds to power and influence in making decisions.
Performance objectives	To develop a better understanding of personal power and influence in the group setting and To describe several ways to gain power and influence in a group.
Indicator	A low score on question 24 on the Needs Assessment Questionnaire.

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7 *Circle in the Square*, 60 minutes

Description	Participants engage in an exercise that both "sides" can complete successfully if they see the advantages of cooperation over competition.
Performance objective	To describe the advantages of cooperation over competition.
Indicator	A low score on question 8 on the Needs Assessment Questionnaire.

8 *Practicing Facilitative Leadership: Part 1*, 75–95 minutes, depending on the size of the group

Description Participants each take a brief turn as facilitator of a working group meeting. Each receives a short oral critique of his or her facilitating effort.

Prerequisite: Participants have completed *The Role of Facilitator in Effective Meetings* (in *CET* module 2, *Effective Meetings*) or are otherwise familiar with the responsibilities and limitations of the facilitator role.

Performance objective To describe personal effectiveness as a designated facilitator, based on group feedback.

Indicator A low score on question 32 on the Needs Assessment Questionnaire.

---

9 *Practicing Facilitative Leadership: Part 2*, 100 minutes

Description Participants share the facilitating function in a group in which no one person has been designated as facilitator. They give and receive feedback on the usefulness of their facilitating interventions.

Prerequisite: Participants have completed *The Role of Facilitator in Effective Meetings* (in *CET* module 2, *Effective Meetings*) or are otherwise familiar with facilitating interventions by group members.

Performance objectives To describe personal effectiveness as a group member in facilitating a group's work, based on one-on-one feedback, and

To describe effective facilitating interventions.

Indicator A low score on question 18, 24, or 32 on the Needs Assessment Questionnaire.

GROUP DYNAMICS AND SHARED LEADERSHIP 1

My Experience with Groups

Description Participants identify behaviors they have encountered in their previous group work that have impeded group effectiveness.

Recommendation: Use in conjunction with *Positive Group Behaviors Identified*. However, *Positive Behaviors* should *not* immediately follow *My Experience.* The two exercises work well as "bookends" for a daylong session, with *My Experience* used at the beginning of the day and *Positive Behaviors* at the end.

Performance objective To identify several negative behaviors that impede group effectiveness.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
45 minutes total	Materials	For each working group of 3–4 people, ☐ a flipchart and markers
20 minutes	**Discussion: Negative group behaviors**	☛ Divide participants into working groups of 3–4 people. Ask each group to select a recorder and discuss the question, *Looking back on the many different groups of which I have been a part, what are some of the negative behaviors with which I have had to deal?* In other words, *What has made participation in these groups less rewarding or less productive than it might have been?*
25 minutes	Report out	☛ After 20 minutes, reassemble the large group, and ask the working groups to share their lists of negative group behaviors. Post these lists on one wall of the room. Note that you will be coming back later for a look at the positive side of group behaviors. Suggest that, in the meantime, the negative behavior lists can serve as a reminder of conditions that members feel reduce group effectiveness and group member comfort.

Positive Group Behaviors Identified

Description	Participants list behaviors that have contributed to team effectiveness and examine those behaviors as examples of the task and maintenance functions their group requires. *Recommendation:* This exercise provides a useful contrast to *My Experience with Groups* but should *not* immediately follow it. See recommendation under *My Experience.*
Performance objectives	To identify several behaviors that contribute to group outcomes and To differentiate between group task and maintenance functions.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
60–80 minutes total*	Materials	For each working group of 3–4 people, ☐ a flipchart and markers For each participant, a copy of ☐ What To Observe in a Group (Handout 1, pages 13–15)
	Flipcharts	The trainer may wish to prepare suggested flipcharts before the workshop session. Flipcharts are indicated by the ✏ symbol.
	Trainer's options for the exercise	☛ There are two options for the first part of this exercise. Use Option 1 with the group that has previously used the exercise *My Experience with Groups*. Use Option 2 with the group that has not.

---

* Allow 60 minutes for the group that has used *My Experience with Groups* and 80 minutes for the group that has not.

Option 1:
30 minutes
for groups
that have
used *My
Experience*

Identifying positive group behaviors

☛ Ask participants to rejoin the same groups of 3–4 people with whom they worked for the exercise *My Experience with Groups*. Ask each group to select a recorder.

Ask the groups to take 20 minutes to consider previous experiential exercises and to identify the positive behaviors that helped them accomplish their tasks and that made the discussions rewarding during those exercises.

Remind participants to focus on positive behaviors, since they have already identified negative behaviors.

When 20 minutes have elapsed, ask each group recorder to post the list of positive behaviors on the wall next to the list of negative behaviors completed in the earlier session.

Ask participants to comment on the contrast between items on the two lists.

Option 2:
50 minutes
for groups
that have
not used
*My
Experience*

Identifying positive group behaviors

☛ Divide participants into working groups of 3–4 people. Ask participants to consider all of the groups of which they have been members and to spend 15 minutes listing on a flipchart the behaviors that contributed to getting group tasks done and to making discussion rewarding.

Report out

☛ When 15 minutes have elapsed, ask that a representative from each working group review briefly the positive behaviors the group identified.

Identifying negative group behaviors

☛ Now ask participants, in their working groups, to spend 15 minutes considering again the groups of which they have been members and listing on another flipchart page those behaviors that impeded group tasks and that made discussion unrewarding in those earlier group experiences.

Tell them to be sure that they are describing specific behaviors, not evaluating personalities.

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20 minutes

Labeling task and maintenance functions

☛ Tell the participants that they have been making the simplest categorization of behaviors in a group, distinguishing between the positive and the negative, or the contributing and the impeding.

Tell them that they will now look at behaviors in a group to decide *what* these behaviors contribute.

Distribute a copy of Handout 1, What To Observe in a Group, to each participant. Ask participants to take 10 minutes to read section IV of the article, on Task or Maintenance Behavior vs. Self-Oriented Behavior.

Examples from working group lists

✏ Write the six task functions on one flipchart page and the five maintenance functions on another, and post them for reference.

☛ Rearrange all of the groups' positive and negative behaviors lists where they can be easily seen.

Ask participants to give examples of each of the task and maintenance functions, referring to the posted lists of behaviors. Try to categorize all of the items on the positive behavior lists.

10 minutes

Discussion: Why observe the group process?

☛ Lead a brief discussion on the value of these observations to the workplace group by asking the following questions:

Is there a balance of task and maintenance behaviors? Or is one function more important than the other to your group right now? Why?

Which functions are not typically assumed by any of the members of your group? How does the absence of these roles affect the group process?

In a typical meeting, what roles do members of your group assume? How do these roles contribute to the effectiveness of the meeting?

Reexamine some of the negative behaviors the working groups listed. Are they all self-oriented behaviors or might some of them be misread or misdirected task or maintenance behaviors?

What new group roles would you like to assume in the future? How might you develop them?

HANDOUT 1

Positive Group Behaviors Identified

WHAT TO OBSERVE IN A GROUP*

by Edgar H. Schein

One way to learn in a training laboratory is to observe and analyze what is happening in one's T Group. All of us have spent our lives in groups of various sorts—the family, gang, team, workgroup, platoon, and so on—but rarely have we taken the time to observe, discuss, and try to understand what was going on in the group. One of our main goals here is to become better observers, which may help us become more effective group participants.

But what do we look for? What is there to see in a group?

I. Content and Process

When we observe what the group is talking about, we are focusing on the *content*. When we try to observe how the group is handling its communication, i.e., who talks how much or who talks to whom, we are focusing on group *process*.

Most discussion topics about the back-home situation emphasize the *content*: "What is good leadership?" "How can I motivate my subordinate?" "How can we make meetings more effective?" They concern issues which are "there-and-then" in the sense of being abstract, future- or past-oriented, and not involving us directly. In focusing on group *process*, we are looking at what our group is doing in the "here-and-now," how it is working in the sense of its present behaviors.

In fact, the content of the conversation is often the best clue as to what process issue may be on people's minds when they find it difficult to confront the issue directly. For example:

Content	*Process*
Talking about problems of authority back home may mean . . .	that there is a leadership struggle going on in the T Group.
Talking about how bad group meetings usually are at the plant may mean . . .	that members are dissatisfied with the meeting of their own T Group.
Talking about staff men who don't really help anybody may mean . . .	dissatisfaction with the way the trainer in the T Group is behaving.

At a simpler level, looking at process really means to focus on what is going on in the group and to try to understand it in terms of other things that have gone on in the group.

II. Communication

One of the easiest aspects of group process to observe is the pattern of communication:

Who talks? For how long? How often?
Whom do people look at when they talk:
Others who may support them? The group as a whole? The trainer? No one?

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* Reproduced from the *NTL Reading Book for Human Relations Training*, 7th ed., ed. Lawrence Porter and Bernard Mohr (Alexandria, Va., 1982) , pp. 72–74, with the permission of the NTL Institute for Applied Behavioral Science. Copyright © 1982.

Who talks after whom? Who interrupts whom? What style of communication is used—assertions, questions, tone of voice, gestures, support or negation?

The kinds of observations we make give us clues to other important things which may be going on in the group, such as who leads whom or who influences whom.

III. Decision-Making Procedures

Whether we are aware of it or not, groups are making decisions all the time, some of them consciously and in reference to the major tasks at hand, some of them without much awareness and in reference to group procedures or standards of operation. It is important to observe how decisions are made in a group in order to assess the appropriateness of the method to the matter being decided on, and in order to assess whether the consequences of given methods are really what the group members bargained for.

Group decisions are notoriously hard to undo. When someone says, "Well, we decided to do it, didn't we?" any budding opposition is quickly immobilized. Often we can undo the decision only if we reconstruct it and understand how we made it and test whether this method was appropriate or not.

Some methods by which groups make decisions follow:

The Plop: "I think we should introduce ourselves"... silence. (Group decision by omission)

The Self-Authorized Agenda: "I think we should introduce ourselves, my name is Joe Smith. . . ." (Decision by one)

The Handclasp: "I wonder if it would be helpful if we introduced ourselves?" "I think it would, my name is Pete Jones. . . ." (Decision by two)

"Does Anyone Object?" or "We all agree." (Decision by a minority—one or more)

Majority-Minority Voting. (Decision by majority)

Polling: "Let's see where everyone stands; what do *you* think?"

Consensus Testing: Exploration to test for opposition and to determine whether opposition feels strongly enough to be unwilling to implement decision; not necessarily unanimity but essential agreement by all.

The procedure can be tricky. For example, it sometimes happens that a decision to poll—which looks very democratic, because polling is considered democratic—can be made by self-authorization or by handclasp. At such a point, the alert group member will realize what is going on and insist that the group be clear on its decision-making style. Actually, the decision a group makes about how it will make decisions can be the most important single element with respect to how it works as a group.

IV. Task or Maintenance Behavior vs. Self-Oriented Behavior

Behavior in the group can be seen from the point of view of what its purpose or function seems to be. When a member says something, is he primarily trying to get the group task accomplished (task), to improve or patch up some relationships among members (maintenance), or to meet some personal need or goal without regard to the group's problems (self-oriented)?

The types of behavior relevant to the group's fulfillment of its *task* are these:

Initiating: Proposing tasks or goals; defining a group problem; suggesting a procedure or ideas for solving a problem. . . .

Seeking Information or Opinions: Requesting facts; seeking relevant information about group concern; requesting a statement or estimate; soliciting expressions of value; seeking suggestions and ideas. . . .

Giving Information or Opinion: Offering facts; providing relevant information about group concern; stating a belief about a matter before the group; giving suggestions and ideas.

Clarifying and Elaborating: Interpreting ideas or suggestions; clearing up confusions; defining terms; indicating alternatives and issues before the group. . . .

Summarizing: Pulling together related ideas; restating suggestions after the group has discussed them; offering a decision or conclusion for the group to accept or reject. . . .

Consensus Testing: Asking to see whether the group is nearing a decision; sending up a trial balloon to test a possible conclusion. . . .

Types of behavior relevant to the group's remaining in good working order, having a good climate for task work, and good relationships which permit maximum use of member resources, i.e., *group maintenance*, are as follows:

Harmonizing: Attempting to reconcile disagreements; reducing tension; getting people to explore differences. . . .

Gate Keeping: Helping to keep communication channels open; facilitating the participation of others; suggesting procedures that permit sharing remarks. . . .

Encouraging: Being friendly, warm and responsive to others; indicating by facial expression or remark the acceptance of others' contributions. . . .

Compromising: When own idea or status is involved in a conflict, offering a compromise which yields status; admitting error; modifying in interest of group cohesion or growth. . . .

Standard Setting and Testing: Testing whether the group is satisfied with its procedures or suggesting procedures; pointing out explicit or implicit norms which have been set to make them available for testing. . . .

Every group needs both kinds of behavior and needs to work out an adequate balance of tasks and maintenance activities.

V. Emotional Issues: Causes of Self-Oriented, Emotional Behavior

The processes described so far deal with the group's attempts to *work,* to solve problems of task and maintenance; but there are many forces active in groups which disturb work, which represent a kind of emotional underworld or undercurrent in the stream of group life. The underlying emotional issues produce a variety of behaviors which interfere with or are destructive of effective group functioning. Groups often ignore such an issue or wish it away, an action that can be detrimental to their task-accomplishment as well as to the growth of the individual(s) whose behavior is based on self-oriented needs. The effective group will recognize what is going on, try to identify the issue, and then work with it in ways which permit these same emotional energies to be channeled in the direction of the group's effort.

What are these emotional issues or basic problems?

Identity: Who am I in this group? Where do I fit in? What kind of behavior is acceptable here?

Goals and Needs: What do I want from the group? Can the group goals be made consistent with my goals? What have I to offer to the group?

Power, Control, and Influence: Who will control what we do? How much power and influence do I have?

Intimacy: How close will we get to each other? How personal? How much can we trust each other? Can we achieve a greater level of trust?

What kinds of behaviors are produced in response to these problems?

Dependency-Counterdependency: Opposing or resisting anyone in the group who represents authority.

Fighting and Controlling: Asserting personal dominance, attempting to get own way regardless of others.

Withdrawing: Trying to remove the sources of uncomfortable feelings by psychologically leaving the group.

Pairing Up: Seeking out one or two supporters and forming a kind of emotional subgroup in which members protect and support one another.

These are not the only phenomena which can be observed in a group. What is important to observe will vary with what the group is doing, the needs and purposes of the observer, and many other factors. The main point, however, is that improving our skills in observing what is going on in the group will provide us with important data for understanding groups and increasing our effectiveness within them. Often, the most effective and useful group member will be the one who can function as "participant/observer," contributing to the group's task accomplishment, yet still able to use a "third eye" to observe how the group is working—information which he shares with the group at appropriate times in an effort to help it deal with maintenance issues and blockages arising out of self-oriented needs. □

GROUP DYNAMICS AND SHARED LEADERSHIP 3

Seven Pieces: Identifying Group Roles

Description Participants work in a group to solve a puzzle without instructions. Based on that experience, they identify the roles group members assumed and discuss the effects of these and other possible roles on their group process.

Performance objective To describe several of the task- and maintenance-related roles that emerge in a group.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
60 minutes total	Materials	For each working group of 5–8 people: ☐ one large, sealed envelope containing the pieces of a puzzle, prepared in advance by the trainer (Trainer's Resource 1, pages 19–20) ☐ a flipchart and markers For each participant, a copy of ☐ Lecturette on Group Roles (Handout 1, pages 21–22)
15 minutes	**Seven Pieces task**	☛ Divide participants into working groups of 5–8 people. Without discussion or instruction, place a large envelope containing the pieces on each group's table. If asked any questions, merely respond, "It's up to your group." Do not use the word "puzzle." Observe the groups as they decide what to do with the envelopes and their contents.

Adapted from "The Seven Pieces: Identifying Group Roles," by Nadine J. (Hoffman) Carpenter, in *The 1984 Annual: Developing Human Resources*, ed. J. William Pfeiffer and Leonard D. Goodstein (San Diego), pp. 16–21, with the permission of University Associates, Inc.

5 minutes	**Group roles**	☛ After each group has completed the puzzle, distribute copies of the Lecturette on Group Roles to participants and ask them to read it.
20 minutes	**Discussion: Roles assumed in the exercise**	☛ Ask the working groups to take 20 minutes to discuss the roles that emerged in the Seven Pieces activity. Have them: *Identify the roles that emerged as they worked together and the specific members who assumed those roles.* *Discuss the effect of these roles on the way they approached and completed the task.*
20 minutes	**Discussion: Roles assumed in the workplace group**	☛ Reconvene the total group and ask: *How did you feel when the envelope was placed on your group's table without comment? What thoughts occurred to you?* *How did your group begin its work? What roles were important at the beginning?* *What procedure did your group use to complete the puzzle? What roles contributed to this procedure?* *Which roles were not assumed by any member of your group? How did the absence of these roles affect group process? What might have happened had these roles been assumed?* *In a typical meeting, what roles do members of your workplace group assume? How do these roles contribute to the effectiveness of the meeting?* *What roles are missing in a typical meeting? What effect does their absence have?* *What new group roles would you like to assume in the future? How might you develop them?*

TRAINER'S RESOURCE 1

Seven Pieces: Identifying Group Roles

PUZZLE DIRECTIONS*

Puzzle Pieces

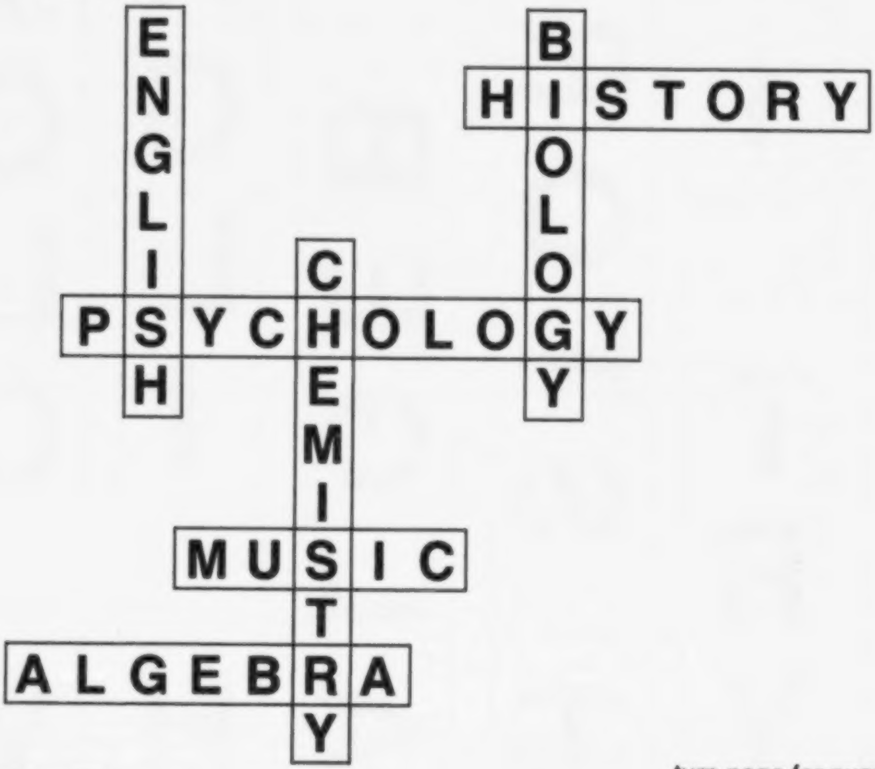
Reproduce the pieces for the Seven Pieces puzzle (see back of this page) on an 8½"×11" piece of card stock or heavy paper.

Cut the pieces apart, place all seven pieces in an envelope, and seal the envelope.

At the time indicated, distribute one envelope to each working group of 5–8 participants.

Give no instructions to the groups. If asked any questions, respond with, "It's up to your group." Do not use the word "puzzle."

Puzzle Solution



turn page for puzzle pieces ⇨

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* Adapted from "The Seven Pieces: Identifying Group Roles," by Nadine J. (Hoffman) Carpenter, in *The 1984 Annual: Developing Human Resources*, ed. J. William Pfeiffer and Leonard D. Goodstein (San Diego), pp. 18–19, with the permission of University Associates, Inc.

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HANDOUT 1

Seven Pieces: Identifying Group Roles

LECTURETTE ON GROUP ROLES*

Within any group the members assume different roles, several of which have been determined to be necessary for a smoothly functioning, effective group. These roles may be assumed by separate members or shared by various members at different points, and in many cases one or more of the individual members may fulfill more than one role.

Because every group has both *task* and *maintenance* functions, some of the essential roles are task related in that they help a group to accomplish things, and some are maintenance related in that they facilitate the participation of the members.

Task roles include:

- *Initiator:* Proposes tasks, goals, or actions; defines group problems; suggests procedures.
- *Information seeker:* Asks for factual clarification; requests facts pertinent to the discussion.
- *Opinion seeker:* Asks for clarification of the values pertinent to the topic under discussion; questions values involved in the alternative suggestions.
- *Informer:* Offers facts; gives expression of feelings; gives opinions.
- *Clarifier:* Interprets ideas or suggestions; defines terms; clarifies issues before the group; clears up confusion.
- *Summarizer:* Pulls together related ideas; restates suggestions; offers decisions or conclusions for the group to consider.
- *Reality tester:* Makes critical analyses of ideas; tests ideas against data to see if the ideas would work.
- *Orienter:* Defines the position of the group with respect to its goals; points to departures from agreed-on directions or goals; raises questions about the directions pursued in group discussions.
- *Follower:* Goes along with the movement of the group; passively accepts the ideas of others; serves as an audience in group discussion and decision making.

more ⇨

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* Reproduced from "The Seven Pieces Lecturette on Group Roles," by Nadine J. (Hoffman) Carpenter, in *The 1984 Annual: Developing Human Resources*, ed. J. William Pfeiffer and Leonard D. Goodstein (San Diego), pp. 20–21, with the permission of University Associates, Inc. The lecture was adapted from E. Guthrie and W.S. Miller, *Process Politics: A Guide for Group Leaders* (San Diego: University Associates, Inc., 1981). The descriptions of task and maintenance roles originated with and were adapted with special permission from "What To Observe in a Group," by Edgar Schein, from *Reading Book*, ed. Cyril R. Mill and Lawrence C. Porter (Alexandria, Va.: NTL Institute for Applied Behavioral Science, 1976), pp. 28–30.

Maintenance roles include:

- *Harmonizer:* Attempts to reconcile disagreements; reduces tension; gets people to explore differences.
- *Gatekeeper:* Helps to keep communication channels open; facilitates the participation of others; suggests procedures that permit sharing remarks.
- *Consensus taker:* Asks to see whether the group is nearing a decision; "sends up trial balloons" to test possible solutions.
- *Encourager:* Is friendly, warm, and responsive to others; indicates by facial expressions or remarks the acceptance of others' contributions.
- *Compromiser:* Offers compromises that yield status when his or her own ideas are involved in conflicts; modifies in the interest of group cohesion or growth.
- *Standard setter:* Expresses standards for the group to attempt to achieve; applies standards in evaluating the quality of group processes.

It can be useful for a group to determine which roles are fulfilled by which members. If certain roles appear to be missing, the members can plan to incorporate the associated behaviors into their group activities. In addition, determining roles allows the members to form a clear perception of their value to the group, and they can consciously build on the behaviors that they naturally exhibit and that are comfortable to them, thereby helping the group to realize its potential.

GROUP DYNAMICS AND SHARED LEADERSHIP 4

Team Climate Survey

Description Participants use a brief survey to rate the working climate of their workplace group on eight qualities. They prepare an action plan for improving that climate.

Performance objectives

To describe several key dimensions of effective teamwork,

To use these dimensions to describe the climate of the group, and

To list several specific steps for improving the group's teamwork.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
60 minutes total	Materials	For each working group of 4–6 people, ☐ a flipchart and markers For each participant, a copy of ☐ Team Climate Survey (Handout 1, pages 27–28)
	Flipchart	Follow Trainer's Resource 1 (page 25) to prepare on flipchart paper a summary of the dimensions measured in the survey.
15 minutes	**Conducting the Team Climate Survey**	☛ Distribute a copy of the Team Climate Survey to each participant. Ask that participants read the instructions and then complete the questionnaire in 5 minutes.
	Tallying survey results	☛ Collect the completed surveys. Ask for one or two volunteers to help record scores on the summary flipcharts. Record each respondent's choice for each quality by placing an X on the flipchart below the number he or she circled for that quality.
	Range and mean	☛ The *pattern* of Xs will show the *range* of values participants assigned as well as the *mean* of all participant ratings. The mean is one way of describing the "central tendency" of ratings, that is, where the ratings tend to cluster. By definition, there are as many scores lower than the mean score as there are scores that are higher. The mean will often describe the range of opinions of a group of people more accurately than an "average."

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15 minutes **What do the survey results mean?**

☛ Ask participants to examine the survey results by addressing the following points:

- the mean score and the range of scores for each item
- reasons for the similarity or diversity of opinion on each item
- the predictability of or the surprise element in the survey results
- an overall assessment of the team climate

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30 minutes **Improving team climate**

☛ Ask participants to divide into working groups of 4–6 people.

Ask that each working group select from the eight characteristics surveyed on the Team Climate Survey the three areas that would provide their group members the greatest opportunity to improve their teamwork.

For each of the three characteristics they select, ask the working groups to generate on flipchart paper a list of specific steps that might be taken to improve the group's teamwork.

Report out

☛ Ask the working groups to share their three "areas of improvement," their reasons for selecting those areas, and some of the steps they suggested for implementing the improvement.

Suggest that the larger group agree to implement some of the steps that would help bring about a commonly desired improvement in teamwork.

TRAINER'S RESOURCE 1

Team Climate Survey

RECORDING SURVEY RESULTS

Summary of results

Atmosphere

informal/relaxed — formal/tense

1	2	3	4	5	6	7	8	9
	X	X	X	X	X			
			X	X				
				X				

Participation

involved/interested — bored/withdrawn

1	2	3	4	5	6	7	8	9
			X		X	X	X	X
					X		X	
					X			

Recording survey results Record each respondent's choice for each quality by placing an X on the flipchart below the number he or she circled for that quality.

Range and mean The *pattern* of Xs will show the *range* of values participants assigned as well as the *mean* of all participant ratings.

The mean is one way of describing the "central tendency" of ratings, that is, where the ratings tend to cluster. By definition, there are as many scores lower than the mean score as there are scores that are higher. The mean will often describe the range of opinions of a group of people more accurately than an "average."

HANDOUT 1

Team Climate Survey

TEAM CLIMATE SURVEY*

Instructions Please rate your workplace group climate on the 9-point scales below. Circle the number on each scale that best reflects your judgment.

1. Atmosphere

Is the atmosphere among group members informal, comfortable, and open? Is there an absence of obvious tensions?

informal/ relaxed	1	2	3	4	5	6	7	8	9	formal/ tense

2. Level of participation

Are group members involved and interested? Does everyone participate in the discussions?

involved/ interested	1	2	3	4	5	6	7	8	9	bored/ withdrawn

3. Focus

Does the discussion remain pertinent to the task or topic that the group has met to address? If the discussion gets off the subject, does someone in the group bring it back on task quickly?

on task/ on topic	1	2	3	4	5	6	7	8	9	off task/ off topic

4. Goal centeredness

Are the tasks and objectives of the group well understood and accepted by the members?

well understood/ accepted	1	2	3	4	5	6	7	8	9	poorly understood/ not accepted

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* The dimensions in this survey were suggested by Douglas McGregor's list of qualities that characterize an effective working team, described in his book, *The Human Side of Enterprise* (New York: McGraw–Hill Book Company, 1960), pp. 232–235. Used with permission of McGraw–Hill Book Company.

5. Listening skills

Do the members of the group listen to each other?
Is each idea considered, or is there a tendency to jump from one idea to another unrelated idea?

members listen	1	2	3	4	5	6	7	8	9	members don't listen

6. Risk taking

Are group members willing to contribute unpopular or extreme ideas, ask "dumb" questions, or take other kinds of initiatives that involve risk?

take risks	1	2	3	4	5	6	7	8	9	avoid risks

7. Managing conflict

Are group members comfortable with conflict, or do they avoid it?
Do they examine the reasons for a disagreement in order to resolve it, or do they suppress or override disagreements by going ahead with group action?

face conflict	1	2	3	4	5	6	7	8	9	avoid conflict

8. Consensus

Are decisions made in such a way that the members of the group can commit themselves to them? Do those who oppose an action voice their opposition to ensure that the consensus reached is genuine rather than apparent?

consensus achieved	1	2	3	4	5	6	7	8	9	no genuine consensus sought

GROUP DYNAMICS AND SHARED LEADERSHIP 5

A Monument to the 21st Century

Description	Based on interactions around building a loc-block "monument," participants examine group behaviors and determine their group's current stage of development.
Performance objectives	To describe four stages of team development and To describe several behaviors that reflect the group's current stage of development.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
110 minutes total	Materials	For each working group of 5–9 people: ☐ a bag of 150–200 loc blocks, legos, or other type of multishaped, interlocking building blocks ☐ a flipchart and markers For each participant, a copy of: ☐ Group Development: Discussion Questions (Handout 1, page 33) ☐ The Group: A Cycle from Birth to Death (Handout 2, pages 35–38)
40 minutes	**Designing a monument**	☛ Divide participants into working groups of 5–9 people. Distribute blocks and tell the groups that they will have 40 minutes to perform two tasks: 1. Identify at least 10 contributions that the 21st century will make to the history of civilization. 2. Construct a fitting monument to the 21st century, using *all* of the building blocks. The monument's design should reflect a recognition of the contributions noted above.
10 minutes	Report out	☛ Ask each group to describe briefly the monument it constructed and the contributions the monument was designed to memorialize.

15 minutes

Discussion: Inclusion, control, and openness

☛ Distribute Handout 1, Group Development: Discussion Questions, to each participant. Ask each working group to spend 15 minutes discussing the questions.

Urge group members

- to share their viewpoints with the group and
- to support their viewpoints with specific behaviors they observed during the discussion and the monument building.

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20 minutes

Stages of group development

☛ Distribute copies of Handout 2, The Group: A Cycle from Birth to Death. Allow participants 15 minutes to read the article.

Referring to the figure in the article, briefly review the key points:

❝ All groups go through three major and unique stages of development:

1. Infancy, or "forming"
2. Adolescence, or "storming"
3. Adulthood, or "norming and performing"

At each stage, four dimensions need attention:

- group behavior
- group tasks/issues
- interpersonal issues
- leadership issues

Groups may recycle back through the stages or, if they have accomplished their work, may be faced with a fourth stage,

4. Transforming

☛ Ask if there are any questions about the article.

15 minutes	**In what stage is our group?**	☛ Ask each working group to spend 15 minutes making two determinations: 1. In what stage of development was the working group that built the monument? 2. In what stage of development is your workplace group? Encourage group members to support their determinations with examples of specific behaviors.
10 minutes	Report out	☛ Ask each group to report briefly on its two determinations and the reasons for them.

HANDOUT 1

A Monument to the 21st Century

GROUP DEVELOPMENT: DISCUSSION QUESTIONS

1. To what extent were group members concerned about **inclusion issues?**
   - Do I wish to be included in these group tasks?
   - Will my ideas be accepted?
   - What will be required of me in this group? Am I willing to pay the price?
2. To what extent were group members concerned about **control issues?**
   - Who will decide what we do?
   - How much power and influence do I have?
   - What is an acceptable process for making decisions?
3. To what extent were group members concerned about **openness issues?**
   - What roles will each of us have in achieving results?
   - Is everyone comfortable with the way we are interacting and with what we are now doing?
   - Are we relying on the unique talents of every group member in accomplishing our tasks?

A HANDOUT 2
Monument to the 21st Century

THE GROUP: A CYCLE FROM BIRTH TO DEATH*

by Richard C. Weber

During our professional and social lives, we have all experienced groups that have jelled or worked and those that have not. How is it that some groups form and develop from a collection of individuals to a cohesive functional unit? Is there any predictability in the process or is it just "fate?"

The experience of a "good group" is frequently equated to a mystical experience: something that "just happens," either by divine providence or the match of astrological characteristics, or a blend of individuals' chemistries. Conversely, the experience of a "bad group" is attributed to poor leadership, a lack of compatability of the members, lack of time, or inattention to process. All of these factors *may* affect our experiences of groups. Groups are complex living entities, similar in many ways to the individual. Yet few of us think about the development and growth of groups.

In this brief presentation, I wish to share a developmental process that *all* groups go through.

Each group proceeds through three major stages of development, which can be compared to the infant, adolescent, and adult stages of the person. Each stage has four dimensions that need attention: Group Behavior, Group Tasks/Issues, Interpersonal Issues, and Leadership Issues. Numerous behavioral scientists have explored each of these dimensions; I have chosen the work of Bruce W. Tuckman (1965), William Schutz (1971), and Wilfred Bion (1961) for this presentation/exploration.

Each stage is unique in comparison to the other stages and how each group experiences and lives through it. And, each stage is lived by all groups that develop into cohesive, functional units.

As in the development of the person, certain stages may be more or less pleasant for us to experience. Each must be lived through, however, and each can be treasured as our own unique experience in an inevitable cycle of development.

Stage I: Infancy ("Forming")

Regardless of what events or structure gives birth to a group, it has to form, to come together. The behaviors in Stage I are initially polite and superficial as each person seeks out similarities or common needs. While introductions are made, each individual is testing the amount of compatability of her or his reasons for being there with the stated reasons of other members. Confusion and anxiety abound as different styles and needs become evident. The goal for the individual is to establish safe patterns for interaction. The group issue is the establishment of basic criteria for membership.

Interpersonally, each individual is working at varying levels of intensity on the issue of inclusion. Some questions raised during Infancy are: "Do I wish to be included, here and with these people? Will they include me, accept me as I am? What will be the price and am I willing to pay it?"

The first stage reflects dependency with regard to leadership. As confusion, ambiguity, and anxiety abound, individuals look to whatever leadership exists in the group or the environment. Whatever direction or information is provided is grasped for guidance. Where there is no response from the designated leadership, written descriptions or charges to the group may become a substitute, e.g., "The training description says. . . ." If this is also lacking, the absence of direction itself may be brought forward as direction and guidance, e.g., "As we are getting no direction, we must be expected to proceed ourselves and take responsibility to. . . ."

Depending on the similarities in style and needs that exist in the group, and depending on the tolerance for ambiguity that exists in the group, this first stage may be smooth and pleasant or intense and frustrating.

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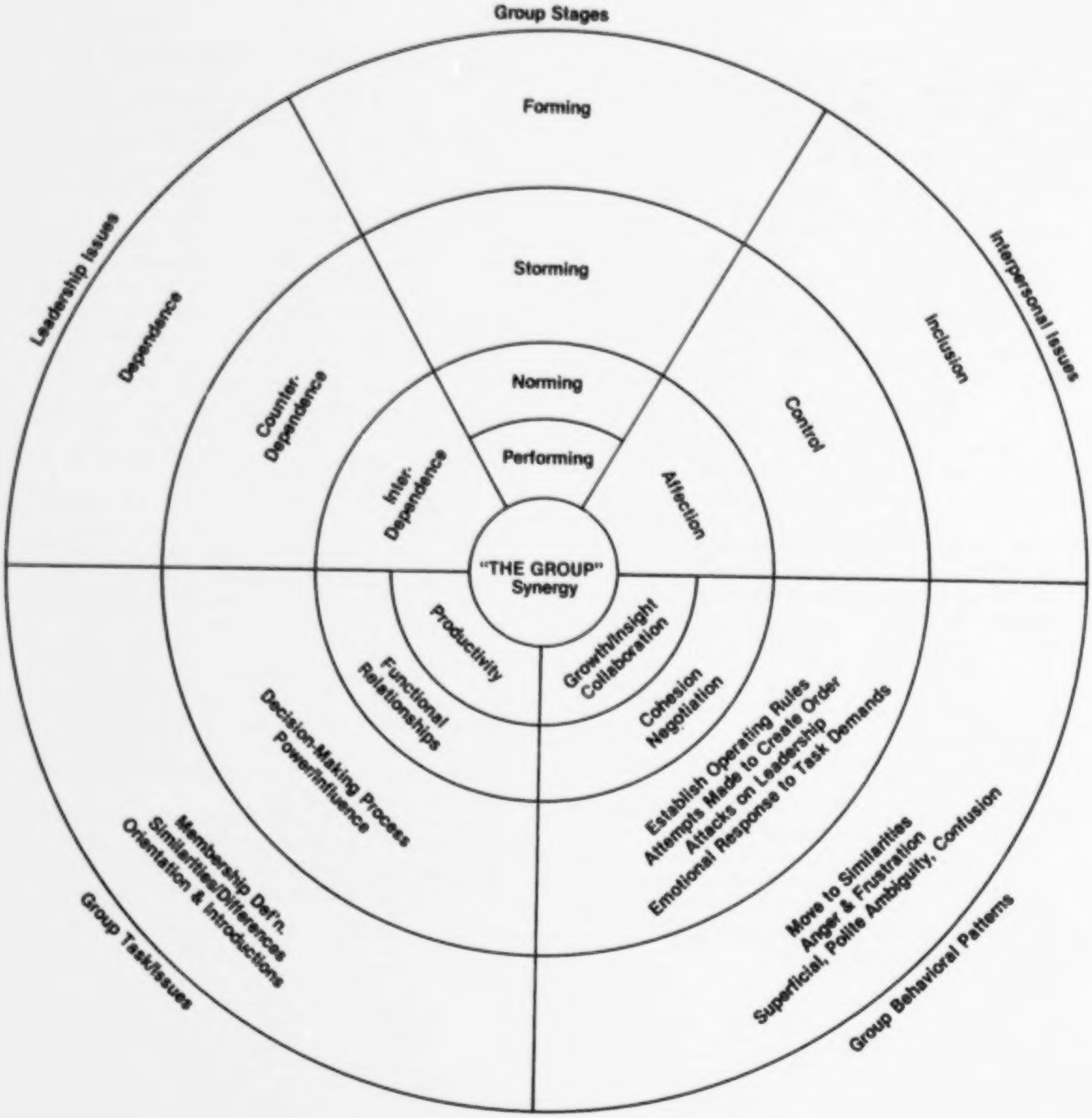
* Reproduced from the *NTL Reading Book for Human Relations Training*, 7th ed., ed. Lawrence Porter and Bernard Mohr (Alexandria, Va., 1982), pp. 68–71, with the permission of the NTL Institute for Applied Behavioral Science. Copyright © 1982.

FIGURE 1
The Life Cycle of Groups



Group Stages
Forming
Storming
Norming
Performing
Leadership Issues
Dependence
Counter-Dependence
Inter-Dependence
Interpersonal Issues
Inclusion
Control
Affection
"THE GROUP"
Synergy
Productivity
Functional Relationships
Decision-Making Process
Power/Influence
Membership Def'n.
Similarities/Differences
Orientation & Introductions
Group Task/Issues
Growth/Insight
Collaboration
Cohesion
Negotiation
Establish Operating Rules
Attempts Made to Create Order
Attacks on Leadership
Emotional Response to Task Demands
Move to Similarities
Anger & Frustration
Superficial, Polite Ambiguity, Confusion
Group Behavioral Patterns

Stage II: Adolescence ("Storming")

When and if a common level of expectation is developed, the group can then move into the even stormier stage of Adolescence. Possibly the most difficult stage of development to tolerate in either persons or groups, this stage cannot be avoided, as it is a crucial stage dealing with power and decision making—necessary skills for the future functioning of the group.

In Stage II, after a base level of expectations and similarities is established, individuals begin to challenge differences in a bid to regain their individuality, power, and influence. Individuals start to respond to the perceived demands of their task, usually with a full range of emotions. Regardless of how clear the task or structure of the group, group members react and will generally attack the designated leadership (facilitators), as well as any emerging leaders within the group. These bids for power and influence may either take the form of direct attacks or covert nonsupport. Interpersonally, members are working through their own control needs, both to be in sufficient control and to have some sense of direction.

The leadership issue is one of counterdependence, i.e., attempting to resolve the felt dependency of Stage I by reacting negatively to any leadership behavior which is evident. By doing so, members remain dependent in that they are not initiating but reacting. Until individuals break out of this frustrating cycle of reaction and begin initiating independent and interdependent behavior, they will remain in the maze of Stage II.

As group members persevere in their attempts to create acceptable order/process for decision making within the group, they will lead themselves into Stage III. The activity and skills gained in this stage are essential for the group to proceed. If the group tries to escape from the unpleasantries of this stage, it will experience failure and will return to Stage I and II again until the process is completed and power issues identified, including the mechanics of decision making. The more aware the group is of what it has accomplished in this stage, the faster the group will evolve and develop in the future.

Stage III: Adulthood ("Norming & Performing")

With the frustration of the first two stages behind, the group can finally pull together as a real group, not merely a collection of individuals. Here the group becomes a cohesive unit as it begins to negotiate roles and processes for accomplishing its task. Functional relationships are explored and established in spite of differences. The group is ready to tackle its goals, working together collaboratively. With the accomplishment of some goals, group members may gain and share insights into the factors that contribute to or hinder their success.

Interpersonally, members are now working out of affection or a caring about others in a deeper, less superficial manner than before. Meaningful functional relationships develop between members. Leadership issues are resolved through interdependent behavior, or working with others. Tasks are accomplished by recognizing unique talents in the group—leading where appropriate and sanctioned and following where productive and necessary. As this interplay occurs, trust evolves.

The experience of accomplishment, whether it be successfully reaching consensus or solving a group problem, provides a powerful unifying force. The sense of "group-ness," a feeling of the uniqueness of the group with all its strength and faults, occurs. The group now has an identity of its own that is in no way diminished by its having evolved through the same cycle as countless other groups.

Re-Cycling Through the Process

Groups may proceed through the three stages quickly or slowly; they may fixate at a given stage; or they may move quickly through some and slowly through others. If they do indeed complete all three stages, however, and have sufficient time left in their life together, they will again re-cycle through the stages. This additional development will lead to deeper insight, accomplishment, and closer relationships.

With the accomplishment of each significant task (or lack thereof), the group must again address the issues of inclusion (What does it mean to be a member now?); control (Who will influence now? How?); and affection (How close and personal can we be? How much can we trust each other?). If the group has learned from its past experience, following cycles will be substantially easier.

As in any human development process, the group development cycle has pitfalls. Inattention to possible traps may result in more frustration and anxiety than is needed in the respective stage. If no learning or insight is gained along the way through the cycle, groups will ponder, "Why are we doing or going through all of this again?" Groups must be attentive to their process and learn through it.

Groups may also re-cycle back to a previous stage before completing the full cycle, for a number of reasons:

- Change in the composition of the group (additions or deletions) necessitates returning to Stage I.
- Change in the charge of the group, back to Stage I.
- Inattention to the needed activities in a stage will sooner or later require a return to that stage.

Stage IV: Transforming

When the purpose of the group has been achieved, or if the time for the group has expired, the group is faced with transforming. Transforming can take one of two paths: Redefinition: establishment of a new purpose and/or structure; or Disengagement, Termination, or Death. The group must decide on its future or it will proceed down a frustrating, unfulfilling path. The natural tendency for any group that has successfully achieved a full cycle is to attempt to remain together in some form in the future. The shared experience—with all of its pain and joy, its meaning and insight—bonds the members of the group together.

When the purpose has changed or the time has elapsed, however, the group must disengage. Not uncommonly, groups will attempt to define ways of retaining contact after separation through letters or planned reunions in an effort to escape the pain of disengagement. But failure to disengage, to recognize that the life of the group, as its members have experienced it, has come to an end, will only lead to a hollow, unfinished feeling in the future. Even if the members were to remain in contact, or if a reunion were to occur (which seldom happens), the experience will never be the same, as the contexts of each of the members will have changed. So as the person must face the inevitability of leaving this life, members must realize that groups too must die. But if nourished, the spirit or experience can live on.

> Experience the joy of your time together!
> Complete the cycle! Share goodbyes without sorrow!
> Treasure the uniqueness of your experience! Open yourself to the possibility that having learned here you may facilitate similar experiences elsewhere, equally unique.

References

Bion, W. R. *Experiences in Groups*. New York: Basic Books, 1961.

Schutz, W. C. *Here Comes Everybody*. New York: Harper & Row, 1971.

Tuckman, B. W. Development Sequence in Small Groups. *Psychological Bulletin*, 1965, *63*, 284-399. ☐

GROUP DYNAMICS AND SHARED LEADERSHIP 6

Choose Me: Developing Power within a Group

Description Participants attempt to exercise power and influence within the group by nominating themselves for a leadership role. They exchange feedback on their efforts and examine the way their group responds to power and influence in making decisions.

Performance objectives To develop a better understanding of personal power and influence in the group setting and

To describe several ways to gain power and influence in a group.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
120 minutes total	Materials	For each working group of 5–7 people, ❑ a flipchart and markers
5 minutes	**Introduction to power**	☛ Introduce the subject as follows: “ Power is a key ingredient in many relationships, particularly those in the workplace. Understanding how you, your fellow group members, and the group as a whole view and wield power and influence can provide a useful perspective for examining and revising relationships and planned actions.
	Definition	“ Though the word may have negative connotations, power is not in itself negative. Power is evident when one party has a need to be met and another party has the means to meet that need.

more ⇨

Adapted from "Choose Me: Developing Power within a Group," by Larry Porter, in *A Handbook of Structured Experiences for Human Relations Training, v. 10*, ed. J. William Pfeiffer (San Diego, 1985), pp. 85–87, with the permission of University Associates, Inc.

Dependence and influence

“The dependence the party of need has and the degree of influence the party of means can exercise will depend upon:

- the nature of the needs (how serious, how specific, how hidden)
- the alternative means (other possible sources, configurations, or solutions)
- the reciprocal nature of the relationship (how much give-and-take, how much interdependence between parties)

Exercising influence

☛ Divide participants into working groups of 5–7 people. The more groups, the greater the opportunity to discuss a variety of group views on power. Describe the procedure as follows:

10 minutes

Preparing self-nominations

“In this exercise, each of you will have a chance to develop power and influence within a group. The task is to select a new leader for your working group. Each of you will nominate yourself for the position.

You will have 10 minutes to develop a 3-minute self-nominating talk. Think about your personal resources, or means, in relation to the group's needs, and develop the best case you can for your selection as leader. Assume that your working group's purpose is the same as that of your workplace group.

Begin developing your talk now.

25 minutes

Delivering self-nominations

☛ Remind the groups that they will select their new leaders based on the self-nominations. Ask members to listen carefully to each presentation and take notes on each member's qualifications.

Remind presenters to limit themselves to 3 minutes. Ask the groups to begin the self-nominations.

10 minutes

Selecting a group leader

☛ After the presentations, ask that each group select a leader, based on the self-nominations. Volunteering to lead, rotating or sharing the lead, and deciding not to choose are *not* acceptable approaches. Only one leader may be selected.

What is influential?

☛ Once each group has chosen a leader, the following activities will help group members to examine and express the way they respond to power.

15 minutes

Feedback on self-nominations

☛ Ask that the groups provide each of their members in turn with brief feedback on their presentations. The feedback should reflect the effectiveness of the member's approach in developing power and influence in pursuit of the leader position.

30 minutes

Describing the group's selection process

☛ Ask each group leader to lead the group in preparing an oral report on the group's selection process and in selecting a presenter. Groups have 20 minutes to prepare their reports.

When 20 minutes have elapsed, ask the designated presenter from each group to deliver the report.

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20 minutes

Discussion: Power in the group

☛ Lead a discussion with the total group about the activity, asking the following questions:

How did you feel about having to present yourself as a leader to your working group? How did you choose the characteristics you presented?

What do the things you chose to say about yourself and the way you chose to say them have to do with your concept of power and influence?

How would you describe your working group's concept of power and influence as illustrated in the group's process of choosing a leader?

From your individual decisions and your working group's operation, what generalizations can you make about power and influence in a group?

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What are some specific ways to gain power in a group? How can power be lost or forfeited?

How did the leader you selected exercise power in your group?

How did power and influence affect the selection of a presenter of the oral report?

What can you do in the future to exert your power and influence more effectively in your workplace group?

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5 minutes

Conclusion: Paying attention to power

" Power is an issue for individuals within the group as well as for the group's internal process and its impact on the workplace.

At various times, each group member can represent a means for meeting a group need. Each group member will thus discover opportunities to exercise influence in the group. Each member also has a *responsibility* to exercise influence from time to time to ensure that the group does not become overly dependent on a few members.

The feedback you received on your self-nominations can help you understand your influence in the group and whether and when you might want or need to moderate or exercise that power.

Similarly, your group may want to examine its dependence or influence on others outside the group from time to time, considering three key aspects:

- the nature of the group's needs
- alternative means of realizing its needs
- the reciprocal nature of its relationships

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GROUP DYNAMICS AND SHARED LEADERSHIP 7

Circle in the Square

Description Participants engage in an activity that both "sides" can complete successfully if they see the advantage of cooperation over competition.

Performance objective To describe the advantages of cooperation over competition.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
60 minutes total	Group size	This activity can be done with any *even* number of working groups of 2–5 people each.
	Materials	For the trainer, ☐ a watch or clock with digital readout or second hand For each pair of groups: ☐ a piece of flipchart paper, with 6 rows of 6 squares (totaling 36 squares) drawn on it prior to the session ☐ 2 markers of different colors
5 minutes	**Setting up the activity**	☛ Divide participants into an even number of groups of 2–5 people. Pair off groups, and make sure each group is sitting close to the other group in its pair. For each pair of groups, post a chart with 36 squares where it is visible to both groups in the pair. Give each group in a pair a different colored marker. Without using the word "team" or in any way introducing the element of competition, give the groups the following instructions for the activity:

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Adapted from "Circle in the Square: A Cooperation/Competition Activity," by Clyde E. Lee, in *A Handbook of Structured Experiences for Human Relations Training, v. 6*, ed. J. William Pfeiffer and John E. Jones (San Diego, 1977), pp. 32–35, with the permission of University Associates, Inc.

Instructions for the activity

“ 1. Taking turns, each group in a pair will use a different-colored marker to place a circle in a square. The objective is to complete rows (horizontal, vertical, or diagonal) of five squares marked with circles of the group's color.

2. A group will mark one circle in one square per move. The two groups will alternate moves.

3. Each group is allowed 30 seconds for a move. The move is lost if it is not made within 30 seconds.

4. Each group will select a "marker," who will draw a circle on the group's chosen square on the chart. "Markers" may confer with their groups before each move but must stay within the 30-second time limit per move.

5. Each group will be allowed 5 minutes for a strategy session before the marking begins.

6. The activity will be completed when each group has had an opportunity to make 15 moves.

5 minutes Strategy sessions

☛ Tell the groups to begin their 5-minute strategy sessions.

---

15 minutes **Circle in the Square activity**

☛ Flip a coin to determine which group in each pair will begin.

Remind the groups that they will alternate moves (one circle per move) until each group has had a chance to move 15 times.

Begin the activity. Use your watch to make sure that each move occurs within the 30-second time limit.

10 minutes Report out

☛ When each group has completed its 15th move, ask each pair of groups to report on how well they did in achieving their objective of completing rows of five circles.

25 minutes

Discussion: Competition vs. cooperation

☛ Lead the total group in a discussion of the activity focusing on the following issues:

- The **meaning of winning.** Is winning making the other group lose, achieving a higher score than the other group, or gaining cooperation from the other group?
- The **feeling of winning**. Is there more of a thrill in achieving a row of five or in preventing the other group from winning?
- The **environment**. What was the effect of the trainer not verbally trying to create a competitive atmosphere?
- The **predisposition to be competitive**. Were most groups so competitive that they did not see that with cooperation—not blocking the other group's moves—each group could complete three rows of five circles, a solution providing a mutual gain or benefit? Did most groups block the other groups' moves so relentlessly that neither group completed any rows at all?
- The concepts of **cooperative and competitive achievement**. How do the concepts of mutual gain, trust, and cooperation relate to the real experiences of the total group?

GROUP DYNAMICS AND SHARED LEADERSHIP 8

Practicing Facilitative Leadership: Part 1

Description Participants each take a brief turn as facilitator of a working group meeting. Each receives a short oral critique of his or her facilitating effort.

Prerequisite: Participants have completed *The Role of Facilitator in Effective Meetings* (in *CET* module 2, *Effective Meetings*) or are otherwise familiar with the responsibilities and limitations of the facilitator role.

Performance objective To describe personal effectiveness as a designated facilitator, based on group feedback.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
75–95 minutes total*	Materials	For each participant, a copy of ☐ Facilitator Checklist (Handout 1, pages 51–52)
15 minutes	**Definition of facilitating**	☛ If the participants have not had recent exposure to the *CET* exercise *The Role of Facilitator in Effective Meetings*, review the introductory material for that exercise with them. That material has been reproduced as Trainer's Resource 1 on pages 49–50.
	Facilitator checklist	☛ Distribute a copy of the Facilitator Checklist to each participant. Review with participants the interventions for getting a meeting off to a good start and for keeping a meeting going. Ask for questions and comments.

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* Depending on the size of the working groups. Each working group member is allowed 5 minutes to practice facilitating and receives up to 5 minutes of feedback.

5 minutes	**Practice session procedure**	☛ Divide participants into working groups of 5–7 people and brief them on the following procedure: Each working group will conduct a meeting to identify and begin to resolve a real issue the group has been addressing. Each group member will serve as a facilitator for 5 minutes during the meeting. When the first facilitator has performed the role for 5 minutes, the trainer will call time and ask the group to spend 5 minutes critiquing: • how the group is doing, • which facilitator interventions were most helpful and which were least helpful, and • what alternate interventions might have been used. The 5-minute facilitation/5-minute critique pattern will continue—with a new facilitator—until each working group member has had a chance to facilitate the group's process. Ask if there are any questions.
50–70 minutes	**Practice session**	☛ Ask that a volunteer in each working group assume the role of facilitator. Tell the groups to begin their practice sessions. Call time at 5-minute intervals so that groups can provide their feedback and resume the meeting with a new facilitator.
5 minutes	**Conclusion**	☛ Conclude by suggesting that each person reflect upon the interventions that seemed to help the group maintain its effectiveness and experiment by making similar kinds of interventions in the next group meeting.

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TRAINER'S RESOURCE 1

Practicing Facilitative Leadership

BASICS OF FACILITATIVE LEADERSHIP

Definition Facilitating is

> *the process of assisting a group unobtrusively in focusing its energies to accomplish a given task.*

Facilitator tasks The person performing the facilitator function **helps the group focus** by

- suggesting methods and procedures,
- eliciting full participation from each group member,
- guarding the integrity of the process the group has chosen to complete its task,
- protecting individuals from personal attack, and
- making other process interventions designed to help the group achieve its desired outcomes.

What a facilitator isn't A facilitator is **not**

- a chairperson to whom comments are addressed,
- a parliamentarian whose job it is to interpret and enforce rules,
- a mediator who makes judgments about the content issues being discussed by the group, or
- a content expert who has opinions to share on the substance of what the group is discussing.

A facilitator is a **process expert** who uses his or her skills to *make it easy* for the group to work together effectively and efficiently.

His or her role is to elicit or make suggestions on how to proceed in the discussion, *not* to contribute ideas relating to the content of what is being discussed.

A facilitator's effectiveness and credibility rest on his or her ability to remain neutral in regard to the content of the discussion.

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Who facilitates?

The facilitating role ought to be *assigned* to one person, or possibly to two people who would be *co*facilitators, to ensure that the role is performed effectively.

However, effective group members will *take the initiative* to

- make procedural suggestions,
- sometimes overrule the suggestions of the facilitator, and
- generally determine the course of the meeting.

HANDOUT 1

Practicing Facilitative Leadership

FACILITATOR CHECKLIST

Getting a Meeting Off to a Good Start

A facilitator may wish to work from the following list of interventions in getting a group meeting started:

- ☐ Clarify for the group that the facilitator's role is to assist the group with process, not to be a content expert.
- ☐ Establish who will serve as the recorder and timekeeper.
- ☐ Determine whether the group wishes to review its ground rules or norms or to establish any new ones.
- ☐ Remind group members of any commitments or agreements they made for this meeting.
- ☐ Remind group members of any new behaviors they want to try out in this meeting.
- ☐ Summarize where the group left off in the last meeting.
- ☐ Clarify the agreed-upon purpose of this meeting.
- ☐ Help the group build an agenda for this meeting. Specifically, help it to:
  - ☐ Determine which tasks to do first.
  - ☐ Establish specific outcomes or products expected from the meeting.
  - ☐ Establish criteria for determining when expected outcomes are achieved or expected products are acceptable.
  - ☐ Clarify the group's tasks (what), and determine the processes (how) the group will use to complete the tasks.
  - ☐ Establish time frames for each task, activity, or process to ensure that the group has enough time to complete all of them.
  - ☐ Identify the other group members who can assist the group in completing the tasks.
- ☐ Check for agreement of all group members on all of the above before tackling the first agenda item.

Keeping a Meeting Going

While the group is working on a task, the facilitator—and each participant in his or her facilitating role—will assist the group by intervening as needed to:

- ☐ Keep the group clear on what the task is.
- ☐ Question the relevance of discussion or contributions to reaching the outcomes the group has chosen.
- ☐ Guard the integrity of the process the group has chosen to complete its task.
- ☐ Check for agreement or disagreement.
- ☐ Summarize where the group is in terms of its agenda, tasks, or process.
- ☐ Identify changes or deviations from the group's agreed-upon agenda, tasks, or processes.
- ☐ Protect the group from domination by a few individuals.
- ☐ Call on silent members to participate.
- ☐ Protect individuals and the group from personal attacks.
- ☐ Suggest alternatives or options.
- ☐ Surface conflicts.
- ☐ Ask for process checks to determine how group members feel about what is going on at a given moment.
- ☐ Call for time-outs or breaks.
- ☐ Assist the recorder and timekeeper.
- ☐ Identify when a suggestion has been made that the group has ignored.
- ☐ Identify when a decision needs to be made.
- ☐ Identify when a decision has been made.
- ☐ Provide ongoing feedback to the group.

Practicing Facilitative Leadership: Part 2

Description	Participants share the facilitating function in a group in which no one person has been designated as facilitator. They give and receive feedback on the usefulness of their facilitating interventions. *Prerequisite:* Participants have completed *The Role of Facilitator in Effective Meetings* (in *CET* module 2, *Effective Meetings*) or are otherwise familiar with facilitating interventions by group members.
Performance objectives	To describe personal effectiveness as a group member in facilitating a group's work, based on one-on-one feedback, and To describe effective facilitative interventions.

TIME	SESSION OUTLINE	TRAINER'S AIDS AND CUES
100 minutes total	Materials	For each participant, a copy of ☐ Facilitator Checklist (Handout 1, pages 51–52)
15 minutes	**Definition of facilitating**	☛ If the participants have not had recent exposure to the *CET* exercise *The Role of Facilitator in Effective Meetings*, review the introductory material for that exercise with them. That material has been reproduced as Trainer's Resource 1 on pages 49–50.
	Facilitator checklist	☛ Distribute a copy of the Facilitator Checklist to each participant. Review with participants the interventions for getting a meeting off to a good start and for maintaining an effective and efficient meeting. Ask for questions and comments.

10 minutes	**Practice session procedure**	☛ If there are fewer than 16 participants, divide them into two working groups; otherwise, divide them into four working groups. Ask pairs of groups to seat themselves in two concentric circles, both facing inward, so that an "inner" circle of participants is surrounded by an "outer" circle of equal number. Tell the groups that they will be conducting a meeting to identify and explore possible solutions to a real problem the group has been addressing.
	Facilitator role	☛ In addition to acting as group members, inner circle members will also act as facilitators whenever a facilitative intervention appears to be needed.
	Observer role	☛ Each outer circle member is to observe the inner circle member sitting opposite him or her and be ready to provide that individual with feedback on his or her effectiveness in facilitating the group's efforts. Suggest that the observers take notes on what they observe.
	One-on-one feedback	☛ The trainer will call time after 20 minutes to permit individual and group feedback. Each observer will spend 5 minutes with the inner circle member he or she observed, providing specific feedback on how effective that person was in facilitating group activity.
	Effective interventions	☛ After the one-on-one feedback session, allow 10 minutes for the observers to share their observations about effective facilitative interventions with the rest of the inner group. Ask participants if they have any questions on how the process will work.

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70 minutes	**Practice session**	☛ Ask the inner circle to begin its problem-solving session. Call time at 20 minutes to start the one-on-one feedback and 5 minutes later to begin the 10-minute groupwide presentation on effective interventions. Ask the inner and outer circle members to change places. Ask that the new inner circle members resume the meeting the first group had begun. Again, the trainer should call time at 20 minutes to begin the one-on-one feedback and 5 minutes later to begin the 10-minute review of effective interventions.
5 minutes	**Conclusion**	☛ Ask participants for their reactions to the practice session. Emphasize the advantages of designating the facilitating role to one or possibly two individuals as *co*facilitators. But also note the importance of each group member's taking the initiative to facilitate whenever he or she observes that it is needed. Stress that facilitative leadership ought to be *voluntarily* shared by all members of the group, even when one or two individuals are the *designated* facilitators.